



A Critical Evaluation of Community Participation in the Planning and Re-Blocking of Informal Settlements. The Case of KwaMathambo, Durban.

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January 2019

A dissertation submitted in partial fulfilment of the requirements of the degree of Master of Town and Regional Planning in the School of Built Environment and Development Studies, College of Humanities, University of KwaZulu-Natal, Howard College, South Africa.

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Declaration

I, Sifiso Nhlakanipho Zikalala, declare that:

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Dedication

I dedicate this thesis to my mother, Goodness “Makhulu” Mbele, my father, Nkosiwabanye “Pat” Zikalala, and my grandmother, Khanyisile Zikalala.

Acknowledgements

The completion of this study would be impossible without the contribution and support of several people whom I am grateful for. I would like to acknowledge the following individuals:

My supervisor Mr Vincent Myeni, a lecturer at the University of KwaZulu-Natal, School of Built Environment and Development Studies. I would like to thank him for his support, guidance and patience.

Mrs Judith Ojo-Aromukudu and Dr Claudia Loggia who are both lecturers at the University of KwaZulu-Natal, School of Built Environment and Development Studies. I would like to thank them for all their support. Thank you for introducing me to the KwaMathambo community members and supporting NGOs (non-governmental organisations).

I extend my appreciation to the community members of the KwaMathambo settlement, most importantly the participants of this study. I would also like to thank the community leader for his assistance throughout our interaction with the community. I would like to thank and praise the Community Organisation Resource Centre (CORC) for their contribution and transparency in this study.

I would also like to thank the eThekweni Municipal officials who opened their doors to me and participated in the interviews. To those who contributed both directly and indirectly to this study, I am truly grateful to all of you. My special thanks go to my family, especially my siblings, for their support. I am truly grateful.

Abstract

This research study critically evaluates community participation in the re-blocking of informal settlement. KwaMathambo informal settlement re-blocking project in Durban is used as a case study. The re-blocking process is done to improve the structure, living conditions in the informal settlement and enhance community participation in planning and implementation of projects. The aim of this study is to establish the extent to which community participation added value to the success of the re-blocking of informal settlements in the KwaMathambo. Furthermore, the study is to critically evaluate of the involvement of the community in the planning and re-blocking of informal settlements.

The study employed qualitative research methods, based on observations and interviews with community members and supporting stakeholders. The study was informed by international and national literature (i.e. precedents studies) on the best practices and benefits of re-blocking of informal settlements. The post-modernist theories such as communicative planning theory and advocacy planning provided the theoretical background for the study and enabled an understanding of the role of community in re-blocking informal settlements.

The study established that the involvement of the community in planning and re-blocking of informal settlement is of great significance. The study established that in the re-blocking process, community participation is well detailed. Hence the successful re-blocking of KwaMathambo is a result of community having total control, and a detailed plan to implement re-blocking. However, the study found challenges that hindered re-blocking of KwaMathambo included lack of understanding of the process by all stakeholders especially the municipality. Furthermore, factors such as political interference, unemployment, dependent mind-set, and alcohol abuse also hindered re-blocking process. The study, therefore, recommends community members in informal settlements and various stakeholders be well informed about re-blocking and its benefits. Collaboration and enhanced communication between communities, government, civil societies and the private sector in engaging adequate measures for participation and developing mechanisms for conflict resolution and effective re-blocking of informal settlements.

List of Acronyms

AAPS	Association of African Planning Schools
ANC	African National Congress
BNG	Breaking New Ground
CBD	Central Business District
CBO	Community Based Organisation
CLIP	Community Land Information Programme
CORC	Community Organisation Resource Centre
DFID	The Department for International Development
DHS	The Department of Human Settlements
FEDUP	Federation of the Urban Poor
GIS	Geographic Information System
GPS	Global Positioning System
HCE	Housing Consumer Education
HDA	Housing Development Agency
HWP	Housing White Paper
IBR	Inverted Box Rib
IDP	Integrated Development Plan
ISN	Informal Settlement Network
KENSUP	Kenya Slum Upgrading Programme
MDG	Millennium Development Goal
MOU	Memorandum of Understanding
NIMBY	Not in My Back Yard
NGO	Non-Governmental Organisation

NUSP	National Upgrading Support Programme
PIE	Prevention of Illegal Evection
PON	Polytechnic of Namibia
PRA	Participatory Reflection and Action
RDP	Reconstruction and Development Programme
RRA	Rapid Rural Appraisal
SANCO	South African National Civic Organisation
SA SDI	South African Slum Dwellers International SDI Slum Dwellers International
UISP	Upgrading Informal Settlements Programme
UKZN	University KwaZulu-Natal
UN HABITAT	United Nations Habitat
WCED	World Commission on Environment and Development
WPI	Worcester Polytechnic Institute

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Chapter 1: Introduction to the Study

1.1 Background of the Study

In years gone by, the main solution to the informal settlements challenge in urban areas was the widespread demolition of dwellings. The idea during the 1950s and 1960s was that informal settlements in urban areas would be eradicated and replaced by rebuilding formal housing under public housing options. The relocation and displacement of residents were evidence of the undesirable outcomes created by this solution (Abbott, 2001). There is a consensus amongst scholars that the first person to propose an alternative solution to informal settlement eradication by complete demolition towards the end of 1906s was John F.C. Turner.

Turner's theory believes that it is necessary to upgrade informal settlements. He emphasised the importance of the community and its right to create its own plans. He further stressed the role of the government as a provider of resources including financial and human capital, materials and services (Abbott, 2001). The influence of this ideology and various others like it resulted in support by the World Bank in the 1970s in the form of finance for low-income housing in-situ upgrading and self-help (Gilbert, 1997 and Pugh, 1997). The assumption was that there needed to be a change from the "top-down" plans and developments that were imposed on communities to "bottom-up" plans and developments directly influenced by the beneficiaries with local government acting as a support system and providing resources.

However, in South Africa following the transition between 1990 and 1994, the Housing Policy Forum favoured a central or government approach to housing. This was done to redress the housing backlog and provision of services to a large number of previously marginalised and disadvantaged groups. This centrality of the state in housing delivery meant that the aspect of community participation became neglected (Mehlomakhulu and Marias, 1999). Consequently, the communities of informal settlements together with supporting organisations devised re-blocking as a solution to redress the issue of the lack of community involvement, poor housing delivery and emergency response in South Africa. The idea is that housing and service delivery can be achieved through democratic planning which is planning that allows for the involvement of the community in the development process. The concept of community participation has been adopted in South Africa which is evident in the country's policy and legislative framework (Department of Human Settlements, 2009; Local Government, 2005). However, individual and professional views of the planning and development processes have not embraced this philosophy and planners have failed to involve the community in developments.

As a result, community participation has not been widely accepted by planners, community organisations, municipalities and communities (Token, 2012).

This study has been prompted by the lack of community participation in informal settlement in-situ upgrading programmes in South African cities. However, informal settlement re-blocking projects which are community-led developments, have proved to have the most involvement of communities (SDI, 2012). To measure this, the study looks at ways a community participates in re-blocking projects and in-situ upgrading projects in informal settlements, measures and policy initiatives to ensure the involvement of the community and results of re-blocking projects. Hence, the study aims to critically evaluate community participation in the planning and re-blocking of the KwaMathambo informal settlement. In this study, community participation is viewed as an approach where the community involved, had ownership of the project where they planned and re-blocked their settlement, and their voices were heard and respected by the authorities (Nampila, 2005). Thus, re-blocking is seen as an alternative method to complete the demolition of shacks and the rebuilding of public housing as well as to improve the living conditions in informal settlements with minimal resident displacement (Tshabalala and Mxobo, 2014).

Community participation enables communities to contribute towards designing acceptable, user-friendly projects and allows communities to develop an interest in the operation and the maintenance of such projects. However, the problem this study identifies is that the voices of the majority of low-income people and those that were marginalised by the previous apartheid regime are still not heard in endeavours to provide sustainable human settlements and improve their living conditions. For this reason, there are still no clear strategies of how community participation is to be implemented in the planning and upgrading of informal settlements. Therefore, planning for the upgrading of informal settlements remains centred in government with communities only sometimes taking on a pro-active role. This will be discussed in Chapter 3. As Huchzermeyer (2006) observes, the failure of the top-down approach in planning for the upgrading of informal settlements, service delivery and integration of diverse social groups has created many problems such as community protests, increased informal settlements with high levels of poverty, crime and health hazards.

The study seeks to examine the extent of community participation which is seen as the key to the success of the re-blocking process that was undertaken by the community of KwaMathambo. In some informal settlement upgrading cases, planning and implementation of

the plans are left to the government with community members only playing a minor role and few community members actually being employed to assist with building. It is common practice that communities leave the development burden to the government and most of the beneficiaries simply await the end product. There is growing evidence in re-blocking projects that when communities are allowed to actively participate in the informal settlement upgrading development programmes the projects themselves will improve.

1.2 Problem Statement

Sadan (1997) argues that many social problems arise when local knowledge and resources are ignored while finding and implementing solutions, and when the required resources are provided without consideration of what already exists.

South African cities are characterised by many challenges emanating from poverty, lack of employment and economic opportunities, unsustainable public transport, poor infrastructure, lower income and informal settlements that were a result of apartheid policies and legislation (Maylam, 1995). These challenges continue from the transition period on to post-apartheid South Africa. The challenges of the urban form were a result of central planning and too much state intervention in the planning and implementing of housing projects. This resulted in a lack of community participation in the planning and implementation of informal settlement upgrading programmes, as communities have succumbed to simply adopting plans that are made for them, sometimes without consultation.

The housing backlog in South Africa has resulted in 1.2 million citizens living in shacks which are located in highly densified informal settlements (HDA, 2012). These settlements have appalling conditions. They lack clean water and sanitation and are prone to flooding and fires. Despite these hazards, people are attracted to informal settlements in search of change and a better life, as they provide access to urban areas with its many opportunities and infrastructure.

There is a substantial amount of literature on community participation, but no consensus has been reached on how to ensure that communities actively participate in the upgrading of informal settlements. Keeping the government at the centre of the upgrading of informal settlements limits the recognition of community participation as the key element in the planning and upgrading of informal settlements (Abbot, 2001). Atkinson, et al. (2002, p.45) also argue that there is still insufficient recognition of the value of community participation and that there is a lack of understanding by many people regarding their rights to participate in municipal

planning programmes. As a result, community participation has not led to community ownership of their projects (Williams, 2006).

Because community participation is still limited, community members became frustrated at being excluded or their decisions not being taken seriously during the planning and upgrading of informal settlements (Rubin, 1992). Payne (2016) added that the previous implementation of the upgrading of informal settlements solely by the government and municipal officials on behalf of beneficiaries and other groups resulted in inadequacy and conflict. There is evidence of the success of re-blocking projects in South Africa where the key element of the success was the community participation (Abbott, 2001).

This raises questions of how the community contributes to the re-blocking of their informal settlement projects and how their contribution and relationship with various stakeholders resulted in a positive outcome. For example, the KwaMathambo informal settlement has been subject to disasters, especially fires. After the first disaster in 2013, the municipality of eThekweni responding through emergency services failed to plan and successfully re-develop the informal settlement, and a number of families were left without shelter (Payne, 2016).

In contrast, the re-blocking project undertaken by the community of KwaMathambo informal settlement in 2016, also in response to a fire disaster that left 40 families without shelter, was a success (Payne, 2016). This study aims to critically evaluate the extent of community participation in the planning and re-blocking of this informal settlement. Furthermore, the study examines community interaction with various stakeholders involved in the re-blocking process, as their success traverses the fairly new terrain of collaboration between the local government and community participation in slum upgrading, leading to collaborative planning (Heyer, 2015).

1.3 Main Research Question

To what extent has community participation been able to add value to the success of the re-blocking of informal settlements in the KwaMathambo area?

1.3.1 Sub-Questions

1.3.1.1. What does literature from an international and national level say about community participation in the planning and re-blocking of informal settlements?

1.3.1.2. What are the factors that influenced the re-blocking of informal settlements?

- 1.3.1.3. What are the challenges faced by the community and various stakeholders during there-blocking projects?
- 1.3.1.4. What is the impact of community participation in the re-blocking of informal settlements?
- 1.3.1.5. What exactly is the role played by communities in the planning and re-blocking of informal settlements?

1.4 Objectives of the Study

The study will accomplish the following objectives:

- 1.4.1. A critical evaluation of the involvement of the community in the planning and re-blocking of informal settlements.
- 1.4.2. An explanation of factors that influenced the re-blocking of informal settlements.
- 1.4.3. A determination of the challenges encountered by communities and stakeholders that are involved in the re-blocking of informal settlements.
- 1.4.4. A determination of the impact of community participation during the process of the re-blocking project.
- 1.4.5. A determination of whether re-blocking results in better living conditions in the informal settlements.

1.6 Hypothesis

Community participation, empowerment and constant involvement are key elements in the successful planning and re-blocking of informal settlements.

1.7 Study Justification

The researcher aims to evaluate community participation in the planning and re-blocking of informal settlements to capture the community contribution in the re-blocking of informal settlements. This will be done in order to create a full understanding of why community participation is seen as an important component in the re-blocking of informal settlements. Finally, this research study aims to contribute to the acknowledgement of community participation as the basis for the successful planning and re-blocking of informal settlements.

There is a substantial body of literature in South Africa that records participation (Everatt, Marais and Dube, 2010). While public participation is an acknowledged requirement for sustainable development and planning worldwide, there is a continuous debate and insufficient empirical evidence on the effectiveness of public participation in practice (Pacione, 2013). The results of this research will provide the facts about community participation in the planning

and re-blocking of informal settlements and will help fill the gap that exists, particularly in the re-blocking of informal settlements.

1.8 Dissertation Outline

Chapter One: Introduction to the Study

Chapter One introduces the study and provides the background of the study by briefly discussing the evolution of community participation in the planning and upgrading of informal settlements. This chapter defines the research problem and presents the objectives of the research and questions. It also presents the research hypothesis and rationale of the study.

Chapter Two: Research Methodology Used for the Study

This chapter discusses the research methodology applied during the study and justifies the choice of methods used. It further discusses the limitations that became obvious whilst conducting research for the study.

Chapter Three: Conceptual and Theoretical Framework

This chapter discusses the context of the study. This is achieved by outlining and discussing the theoretical and conceptual framework of community participation in the planning and re-blocking of informal settlements relevant to the study. This chapter also discusses the way that each theoretical framework applies to the study. From each theory used, a conceptual framework is derived.

Chapter Four: Literature Review in the International and South African Context

This chapter reviews existing literature about community participation in re-blocking projects. It presents related case studies in both the international and South African context. The chapter further discusses the legislative framework which guides community participation in the re-blocking of informal settlements in South Africa.

Chapter Five: Historic and Background of Case Study

This chapter provides the geographical location, brief historical background and situational analysis of the KwaMathambo informal settlement. This chapter also provides justification for the selection of the case study.

Chapter Six: Presentation of Research Findings, Data Analysis and Interpretation

This chapter presents and discusses the findings of the research and provides the analysis and interpretation of the findings of the study. The aim of this chapter is to present an in-depth

examination of the study and its aims in order to present comprehensive arguments that link primary and secondary data.

Chapter Seven: Summary of Findings, Recommendations and Conclusion

This chapter summarises the findings, concludes the dissertation and makes recommendations based on the relative findings.

1.9 Conclusion

This chapter presents the motivation for the undertaking of this study and the background of the re-blocking of informal settlements processes which are achieved through participation by communities seeking to improve their living conditions and housing and to gain access to services in South African cities. Moreover, this chapter discusses the objectives and questions that the study aims to address and the hypothesis that the study aims to prove through the systematic presentation and analysis of data. This chapter also outlines the structure of the dissertation, demonstrating the chapters and providing a brief description of their contents.

Chapter 2: Research Methodology Used for the Study

2.1 Introduction

This chapter presents and outlines the research methodology utilised by the researcher to complete the study. The aim of this chapter is to explain the steps that were taken to complete the research in this study. This chapter defines the term “research methodology” and moves on to discuss the type of research design and methods that were used.

2.2 Research Methodology

Research methodology is defined as a systematic way of solving the research problem and reaching the hypothesis. In this instance, the methodology shows how research is scientifically done (Kothari, 2004). Other definitions of research methodology used in this study include Polit and Hungler’s definition (2004, p.233) which states that a methodology refers to the “ways of obtaining, organising and analysing data; the decision to use these tools depends on the nature of the research question”.

Henning et al, (2004, p.36) describe methodology as a “coherent group of methods that complement one another and that have the ability to fit to deliver data and findings that will reflect the research question and suit the researcher’s purpose”. According to Holloway (2005, p.293), methodology means “a framework of theories and principles on which methods and procedures are based”. A research methodology serves as a guide to how a researcher conducts the study, and it explains and justifies the logic which the researcher has chosen for the research methods to be used in a study.

The study makes use mainly of qualitative research which refers to inductive, holistic, emic, subjective and process-oriented methods which are used to understand, interpret, describe and develop a theory regarding a phenomenon or setting. According to Burns and Grove (2003, p.356), qualitative research is a “systematic, subjective approach used to describe life experiences and give them meaning”. Therefore, “qualitative research is mostly associated with words and language conducted in a natural setting and experiences rather than measurements, statistics and numerical figures” (Neuman, 1997, p.125).

Qualitative research is significant because it allows researchers to adapt to a person-centred and holistic perspective to understand the human experience without focusing on specific concepts. The original context of the experience is unique, and rich knowledge and insight can

be generated to present a lively picture of the participants' reality and social context. "These events and circumstances are important to the researcher" (Holloway, 2005, p.4).

2.3 The Selection of the Case Study

Yin (1984, p.23) defines the case study research method as an "empirical inquiry that investigates a contemporary phenomenon within its real-life context when the boundaries between phenomenon and context are not evident and in which multiple sources of evidence are used". The case study centres on the community of the KwaMathambo informal settlement (refer to Map 2). It is chosen because of its history, location within a formal neighbourhood and closeness to facilities, activities and employment opportunities in the Durban Metropolitan Area. The KwaMathambo community has implemented a re-blocking of informal settlement project with help from various stakeholders such as the eThekweni Municipality, CORC in alliance with SA SDI, the ISN and the uTshani Fund.

2.4 Sources of Data

This section discusses the source of data used in this study. The first source of data was collected from secondary data sources and the second source of data was collected from primary data sources (O'Brien et al., 2014; Avenier & Thomas, 2015). These two methods are discussed in detail below.

2.4.1. Primary Data

This study also relied on primary data. "Primary data is raw data which is obtained straight from the field" (Mikkelsen, 1997 cited in Magidimisha, 2009, p.6). This refers to the data that was gathered from the case study of the KwaMathambo informal settlement within the boundaries of the eThekweni Municipality, as it has been subject to the re-blocking project. Primary data was also obtained from leaders of the community, leaders of CORC aligned with SDI, the uTshani Fund, the ISN, non-governmental organisations and officials from the Department of Human Settlements (eThekweni Municipality). The primary data collection techniques employed in this study include observations and face-to-face interviews.

Interviews were used to collect data in this study (Neuman, 1997). Rather than asking the participants to fill out surveys, the interviewer asked verbal questions and recorded the participants' answers. This type of survey generally decreases the number of questions that participants omit when compared with self-administered surveys. The interviewer prevents the misunderstanding of questions, as the interviewer is present and can clarify, thereby, obtaining the relevant responses (Babbie, 1990). As previously noted, personal interviews are a good way

to gather information from community leaders, particularly those who might be unwilling or too busy to complete a written survey.

“Observation” refers to the personal observations that the researcher obtains by making a personal visit to the area of study. It allowed the researcher to gain information and a better understanding of the issues contributing to the objective of the study by looking at the situation on the ground (Magidimisha, 2009). This technique complements the techniques mentioned above, in collecting and documenting data. The observation technique also allowed for the use of a camera to capture important information about the study in the form of photographs (Magidimisha, 2009). The observation focused on issues relating to the improvement following the re-blocking process. This included visible improvements following the re-blocking such as the equipment and methods that were used to plan for the re-blocking, the services provided by the municipality in the area of study and the infrastructure maintenance plans.

2.4.2. Secondary Data

Secondary data refers to data that has already been collected by other researchers and is in the public domain. For the purpose of this study, secondary sources of data included journals, government documents, maps and books. The subjects of these resources included various planning theories, community participation, community organisations and supporting NGOs associated with the SDI, re-blocking of informal settlements, participatory planning, collaborative planning, disaster management strategies and sustainable development theories and concepts.

Mapping or the use of geographic maps as a technique allows for the easy presentation of information that is precise and comprehensive (Mikkelsen, 1997 cited in Magidimisha, 2009, p.7). The researcher compiled maps using GIS files from the eThekweni Municipality. The maps were used to determine the locality and boundaries of the area of study and to depict the changes that are a result of re-blocking.

2.5 Sampling Methods

The sampling method involves taking a representative selection of the population and using the data collected as research information. “A sample is a ‘subgroup’ of a population” (Frey et al, 2000, p.125). The sample should be “representative in the sense that each sampled unit will represent the characteristics of a known number of units in the population” (Lohr, 1999, p.3). This study made use of the following sampling methods:

2.5.1. Purposive Sampling

The researcher conducted semi-structured interviews with key informants who were identified using purposive sampling. The informants had crucial knowledge and data significant for completion of this study and its objectives. “The primary consideration in purposive or judgmental sampling is the judgment of the researcher as to who can provide the best information to achieve the objective of the study” (Kumar, 1999, p.26). One of the advantages of utilising a judgmental sampling method is that it offers the researcher an opportunity to interview the participants at a place of personal comfort such as a home, workplace or event where the participants feel comfortable and safe. The sample size for the research study is 30 individuals from the 287 families residing at KwaMathambo who were selected from the case study. This allowed for a wide range of individuals to be interviewed and provided realistically balanced results. The key informants that were interviewed during this study are as follows:

2.5.1.1. The Municipal Officials

The officials from the Department of Human Settlements in the eThekweni Municipality who were interviewed included the project manager of the team who was responsible for profiling the community of KwaMathambo. The liaison officer who was responsible for ensuring that the electricity was connected at KwaMathambo was also interviewed. Lastly, a planning officer whose responsibility was to provide technical support to communities undertaking re-blocking was also one of the study participants. The reason for interviewing these officials is because they have participated in and have knowledge of the re-blocking processes in Durban. The selected municipal officials assisted the researcher in gaining an understanding of how community participation ensured the success of the re-blocking projects as well as its contribution to the success of other development projects.

2.5.1.2. The Officials of CORC Organisation

For the purpose of this research, two NGO officials from CORC were interviewed. They have both been involved in the re-blocking of the KwaMathambo settlement. These key informants had extensive data about re-blocking and how community participation resulted in the success of the re-blocking of KwaMathambo and other informal settlements across South Africa. The members of CORC were selected because the re-blocking process in KwaMathambo was made possible by their assistance and the support that was provided to households with planning, managing funds and rebuilding of shacks. Re-blocking was funded by the community members through savings and little help from CORC. The enquiry from the members of CORC was intended to ascertain the role played by community members in the informal settlements re-

blocking projects. It was further intended to establish what policy and legislation is in place to ensure community participation and improve the settlement.

2.5.1.3. Household Survey

The household survey conducted at KwaMathambo focused on beneficiaries and the community responsible for re-blocking using their own funds, with the support from CORC and the eThekwini Municipality. This was done to explore data that showed the way in which community members participated in the re-blocking of their settlement. Furthermore, the survey also unveiled phases and different roles played by community members. The household survey also included a community leader who played an extensive role during re-blocking. He was the link of communication between the community and external stakeholders, and he provided useful data about the relationship with the external stakeholders and surrounding community members. The survey also probed the households for the challenges they faced during the re-blocking process. This included those who are renting. The data obtained from the households aided the findings and recommendations of this study.

2.5.1.4. Heterogeneous / Maximum Variation Sampling

This sampling method included selecting a wide range of informants of different ages, ethnic groups and job descriptions who all had important information to share relating to the case study (Lewis and Catlett, 1994). It allowed the various parties involved in the study to bring different perspectives and experiences to the study.

Table 1: Summary of Respondents

Respondents	Designation/ Affiliation	Institution
eThekwini Municipality officials	Project manager, liaison officer and planning officer	eThekwini Municipality

Members of CORC, the uTshani Fund and SA SDI	Administrative officer and planner	CORC, uTshani Fund and SA SDI
Household members	Community leader and members of KwaMathambo	Community

2.6 Data Analysis

“[D]ata analysis consists of examining, categorising, tabulating, testing, or otherwise recombining evidence to draw empirically based conclusions” (Yin, 2009, p. 126). It is the process through which interpretations and inferences are made which might include the development of a theory (explanation) or model. (O’Brien et al., 2014). Thematic analysis was chosen as the most appropriate data analysis approach to use in this study (Braun and Clarke, 2006). Thematic Analysis is a type of qualitative analysis which is used to analyse, classify and present themes and patterns that give a meaning to the data (Braun and Clarke, 2006). It illustrates data in great detail and deals with diverse subjects by interpreting different aspects of the study (Boyatzis, 1998). Furthermore, thematic analysis enables the data collected to be readable and understandable because the data is taken from the researcher’s findings. This enables the reader to easily establish what the research aims to uncover even when the findings are not in line with the hypothesis made at the beginning of the study. In this study, the thematic analysis method is analysed and presents the view of the beneficiaries and stakeholders that were involved in the re-blocking of KwaMathambo.

2.7 Limitations

Research can have many limitations. Some were predicted for this study. The first was the resistance from participants who feared that they were being investigated for reasons related to law enforcement. The researcher dealt with this challenge by explaining to the respondents that the study is for the purpose of completion of Masters in Town and Regional Planning at the University of KwaZulu-Natal.

A second predicted limitation to this study was the difficulty in getting responses because of the reluctance of participants to answer questions and the unavailability of household

participants who were at work when the study was being conducted. This limitation was addressed by means of purposive sampling whereby other members of the community that were affected by re-blocking were selected to participate in the research study.

2.8 Conclusion

This chapter explains the qualitative method of data collection as the preferred approach to the research and explains its advantages in order to justify its use in the study to evaluate community participation in the re-blocking of informal settlements. The sampling method that was used in this study is explained; it includes a sample size, household survey and the observation matrix. The study uses interviews to administer data collection, and the process and structure of data analysis is also presented in this chapter. The motivation of the study is also provided. Lastly, the limitations of the study and solutions that were used to overcome them.

Chapter 3: Theoretical and Conceptual Framework

3.1 Introduction

This chapter elucidates the conceptual and theoretical framework used in this study with the aim of unearthing the important principles that relate to community participation in the re-blocking of informal settlements. This chapter outlines and discusses the key concepts and theories from urban planning, housing and development. Herein, the relevance and application of the concepts and theories of this study is discussed with the aim of critically evaluating the adoption of an approach based on community participation in the planning and upgrading of informal settlements. This chapter comprises of two major themes namely the conceptual and theoretical framework.

Firstly, the conceptual framework is derived from the key concepts of the study such as the re-blocking of informal settlements, sustainable development, community participation, levels of participation and community action planning. This is applied with an emphasis on community participation in the re-blocking of informal settlements and extracting the significant principles that will be tested in the study. Secondly, the theoretical framework encompasses the discussion of theories such as the postmodern planning theory, focusing on the advocacy planning theory by Davidoff (1965) which emphasises the role played by town planners as facilitators and support systems of vulnerable groups who, in this case, are informal settlement dwellers. This chapter further discusses the collaborative/communicative planning theory with literature from Habermas (1984) and Healey (1996) which is founded on the principles of advocacy planning. These theories supported and created the recognition of community participation in planning and development programmes.

The theoretical and conceptual framework is critical to the comprehension of planning theory and practice. Understanding the success of re-blocking projects in the context of South Africa where many city inhabitants reside in informal settlements and where there is still minimal community engagement on upgrading projects is vital. This is because the informal settlers are not given a chance to make decisions that will enhance their livelihoods (Williams, 2006).

3.2 Conceptual Framework

The following section provides a detailed conceptual framework. The concepts that will be covered include the following:

3.2.1. Sustainable Development

The report released by the Brundtland Commission defined sustainable development as “development that meets the needs of the present without compromising the ability of the future generations to meet their own needs” (Brundtland, 1987, p.41). The key principle of sustainable development is that “the right to development must be fulfilled so as to equitably meet developmental and environmental needs of present and future generations” (United Nations, 1992). The Rio principles were reaffirmed at the June 2012 UN Conference on Sustainable Development. The sustainable development concept is deliberately inclusive and encourages participation because it is one of the mainstays of development (Jackson, et al., 2006, p.13).

The term “sustainable development” became popular in the late 1980s after the appearance of the Brundtland Report that aimed to draw the world’s attention to the accelerating deterioration of the human environment and natural resources and the consequences of that deterioration for economic and social development (WCED, 1987). It raised the main issue that of the competing interests of the environment, economy and people, and also highlighted the interlinkages between them. This was followed by stressing the importance of co-operation on a global scale to achieve sustainable development (WCED, 1987).

This study views sustainable development as a means to maintain and restore the condition of informal settlements (Sutton, 1999 cited in Gollan, Wilkinson and Hill, 2001). Therefore, sustainable development in terms of urban planning and development is understood to be a solution for multifaceted problems such as challenges related to spatial characteristics, geographic location, environmental conditions, economic viability, cultural vitality, institutional ability and structure, human development, social relationships and local values and aspirations (Du Plessis and Landman, 2002).

Furthermore, sustainable development specifies that humans must utilise scarce resources in a fair manner that will ensure that future generations have access to the resources needed to survive. Jepson (2005, p.167 cited in Jukuda, 2010) argues that the utilisation of “scarce resources” implies that there are limitations related to resources that are finite and need to be used wisely.

In essence, sustainable development is a strategy that minimises negative environmental impacts, as it encourages people to live within the limits of supporting ecosystems while preserving them (Agyeman, et al., 2003, Jepson, 2001 and Berke, 2002 cited in Jukuda, 2010). In this study, the sustainable development concept relates to community participation in re-

blocking projects, acknowledging the urgency of global problems concerning informal settlement upgrading solutions (Jepson, 2005 cited in Jukuda, 2010).

3.2.2. Community Participation

According to Pacione (2013, p.33), “community participation is a political principle and practice that seeks and facilitates the involvement of citizens potentially affected by or interested in a decision”. Additionally, according to the World Bank (1996, p.3), community participation is “a process through which the community influences and shares control over development initiatives, decisions and resources that affect them”. In this instance, the study seeks to evaluate the contributions of the beneficiaries in the planning and re-blocking of their settlement.

Scholars like Turner (1967), insisted on allowing the poor to take the lead in the planning and development of their houses, moving away from state-controlled development. The United Nations Economic and Social Council Resolution 1929, quoted in Midgley (1986, p.25), argued that community participation is a “voluntary and democratic involvement of people in (a) contributing to development effort, (b) sharing equitably in the benefits derived therefrom and (c) decision making in respect of settling goals, formulating policies and planning and implementing economic and social development programs”. Furthermore, Arnstein (1969, p.2) argues that participation is a channel for “the redistribution of power that enables the have-not citizens to be deliberately included in the future”.

The reason for the need to allow communities to take control of informal upgrading projects like re-blocking is the fact that communities have better knowledge of their priorities. Sandercock (1998, p.30) further asserts that “local communities have experiential, grounded, contextual and intuitive knowledge which is manifested through speech, songs, stories and various visual forms rather than the more familiar kinds of planning sources such as census data and simulation models”. Authors such as Painter and Sandercock (1994 cited in Lane, 2005) considered that participation opportunities may differ according to specific planning concepts. In addition, community participation in re-blocking was measured by looking at different planning approaches with Arnstein’s well-known “ladder of participation” (Lane, 2005).

In South Africa, the urban planning and local authority systems transformation during the 1990s was a direct and most significant influence that resulted in new institutional, legislative and policy frameworks (Coetzee, 2005). The reason for the new urban system was encouraged

by a critique of the flaws of the modernist planning used during the apartheid era. International trends were another factor that indirectly influenced the new urban planning systems. The importance of community participation in urban planning also started during the transformation period. The ANC, through its public statements and policies, continually promoted the principles of community participation within the broader context of urban planning (ANC, 1994) (South Africa, 2000). The idea was that urban planning systems and housing development would involve the greater majority that was not included during apartheid, and to have a planning process that is inclusive of society.

Furthermore, community participation became recognised as an important part of urban planning, and as an interlinked segment of the municipal planning system and its comprehensive IDP) system (Coetzee, 2005; South Africa, 2000). The reason behind the formalisation of community participation was that modernist planning systems and the apartheid planning system were based on the views of professional experts and premised on racial segregation. Thus, it marginalised the views of the majority of urban dwellers. This resulted in a situation where planning was diluted by a minority ideology, even though it was intended for the majority. The IDP was established to include the people so that they are able to participate in the decision making of their municipalities.

3.2.3. Community Participation Levels within Re-Blocking

Arnstein (1969) argues that in any development project there is a degree of participation. Participation, mentioned above, can be in the form of power or control over participants used to shape the outcome. Arnstein's levels of community participation are reflected in the level of community participation in the planning and re-blocking of informal settlements. Level seven of Arnstein's "community participation ladder" is "self-mobilisation strategies" (Theron, 2005). This level reflects community participation in re-blocking projects in the sense that the community drives and owns the project free from outsiders or external institutions. Given the circumstances and politics of the area, community participation that is "bottom-up and based on self-reliant mobilisation and collective actions may or may not lead to challenging of inequitable distribution of wealth and power" (Sibiya, 2010: 27). According to Arnstein (1969), for planners, developers and policymakers to achieve genuine community participation, there is a need for the redistribution of power between the participants and stakeholders. Similarly, Amy (1987 cited in Lane, 2005) emphasises the importance of power sharing.

3.2.4. Re-Blocking of Informal Settlements

Sokupa (2012 cited in Tesot, 2013, p.23) defines re-blocking basically as “an act of reorganising shacks and/or slums within an informal settlement to enable better access to basic services that might have been difficult to access previously”. It is largely considered an in-situ settlement upgrading that allows minimal disruption to the residents’ living environment.

Bradlow (2011 cited in Tesot, 2013, p.23 and Baptist and Bolnik, 2012, p.61) appraises re-blocking as “a way of addressing the larger concept of spatial reconfiguration versus the simple delineation of sites”. The difference, he argues, is “whether the focus is on improving individual households or primarily creating a better space within the informal settlement that will make it easy to provide basic services such as water, sanitation and electricity”.

Furthermore, SDI definitively describes re-blocking as a process of reconfiguring the shacks in an informal settlement so that “at the very least, they align in rows, back-to-back with straight pathways in between” (SDI, 2010 cited in Tesot, 2013, p.16). The aim of this is to recreate a settlement that is ready for an eventual upgrading which is safer for its residents and “allows fires to be better controlled, and more importantly, opens up space for the provision of the much-required infrastructure and basic services” (SDI, 2010 cited in Tesot, 2013, p.16).

Re-blocking is regarded as a community initiative. Its success is dependent on the support of NGOs and local government entities. Re-blocking is initiated by the communities seeking to improve the physical and social fabric without formalising the settlement through the formal planning regime. The partnership which leads to the success of re-blocking projects is subject to the roles of each stakeholder. The roles of stakeholders involved in re-blocking are detailed below (Sokupa, 2012):

3.2.4.1. Community Leadership

- Voice the community’s sentiments
- Relay important information to the community
- Provide detailed information regarding the settlement
- Maintain momentum within the community
- Determine the support needed from other partners

3.2.4.2. CORC

- Support the community with design and mapping
- Assist in developing reporting tools for all the partners

- Arrange community exchanges (with ISN assistance)
- Facilitate a relationship between all stakeholders

3.2.4.3. Municipality

- Facilitate permits and other legal documents
- Arrange for services (such as electricity, water and sewerage)
- Procure funding for the settlement's infrastructure
- Arrange for professional engineers, technicians and contractors for construction and materials

3.3 Theoretical Framework

The following section provides a detailed theoretical framework. The theories that will be covered include the following:

3.3.1. Post-Modern Planning

The postmodern theory is a widely and much-debated construct that provides a philosophical and social response to the modernist theory. In straightforward terms, the post-modern theory came about as a social reaction to the flaws of modernist planning. Lyotard (1982) argued that the “postmodern condition” for associations is one in which the use of science as a vehicle for human advancement is contested. For the purpose of this study, postmodernism is defined as a social movement that impacts the method for overseeing urban areas, and it is expected to be the best-case scenario as the assortment of interrelations engaged with urban living (Oranje, 1998). Previously, modernist planning ignored culture and public interest, and it focused more on the science and economics of industrial capitalism.

The postmodern theory considers reality to be what people or communities make it to be (Makoni, 2017). It is a philosophical proposition that the truth becomes blocked off by human investigation, that knowledge is social development, that reality claims are political strategic manoeuvres and that the importance of words is to be controlled by readers not and authors. Against modernist thoughts of seriousness, purity and individuality, postmodern art, for example, exhibits a new carefreeness, comprehensive and collaborative thought and diversity of ideas.

Postmodern scholars challenged modernist planning and encouraged a move to a people-centred approach that is driven by the concerns of the people involved. Postmodernist ideas of the city emerged as a reaction against modernism. It departs radically from modernist

conceptions of how to regard space. Harvey (1989, p.66) states that urban design in postmodern times was expected to be sensitive to the traditions of communities and their needs, thus producing spaces personalised by the community's traditions.

Therefore, post-modern planning shifted from modernist planning by rejecting the "totality" of the idea that planning could be "exhaustive", and even generally applied without ignoring the context and basis for the plan. According to Goodchild (1990), post-modern planning acknowledges pluralism and elevates familiarity with social contrasts to acknowledge and uncover the claims of the minority and disadvantaged people. Postmodern planning enhances communication, encourages community participation and strategic planning, thereby rejecting state and professional dominance in the planning systems. This is evident in the re-blocking projects examined in this study. One explanation for the growing impact of the postmodern influence in urban planning was the demise of the rational model.

The key role of modernist planning was rationality, thereby knowledge was limited to scientific objectives, practical measures, emphasis on expertise while overlooking the community's "stories" which are an important part of knowledge, and provide a means to apply science within the planning. Innes (1995) and Sandercock (1998) stated that modernist planning attempted to bring order through reliance on rational decision-making and accentuation on quantitative analysis, neutral expertise and the provision of solutions for decision-makers. The establishment of scientific rationality has been undermined, however, nothing has taken its place (Harper and Stein, 1996). Based on postmodernism criticism, the weaknesses of the rational planning model were as follows:

Modernist urban design focuses on planning for entire cities using the instrument of master planning as a component for the re-knitting of an evidently sprawling urban texture. There is a scope for master planning to reintroduce an all-encompassing cooperative energy to the city. On the other hand, postmodern urban planning focuses on the parts of the city that reflect the totalisation of modernisation. Master planning recommends an American zonal system to promote improvement. In any event, an urban vision does not need to represent a detachment of activities and exercises. Besides, it provides the opportunity to present porousness that is more productive, and development frameworks that drive the imperative and dynamic quality of urban spaces.

Correspondingly, Harvey (1989, p.66) "argued that in the field of architecture and urban design, he took postmodernism broadly to signify a break with the modernist idea that planning

and development should focus on large-scale, metropolitan-wide, technologically rational and efficient urban plans backed by absolutely no-frills architecture. Since the metropolis is impossible to command except in bits and pieces, urban design (and note that postmodernists design rather than plan) simply aims to be sensitive to vernacular traditions, local histories, particular wants, needs and fancies, thus generating specialised, even highly customised architectural forms that may range from intimate, personalised spaces, through traditional monumentality, to the gaiety of spectacle”.

However, the use of zoning was a way to create efficiency within urban spaces, but the result therein was segregation. Wagner (1994, p.86) further states that “as the social and economic phenomena of an inordinate modernist movement matured, it resulted in social disorganisation and anomie. This is because modernism and almost all the tenets of rationality were driven by a corrupted and flawed capitalist system”. For instance, the South African urban form is characterised by a number of inefficiencies resulting from apartheid-era policies and legislation (Maylam, 1995). During the apartheid era, the urban city models were successfully used to racially segregate people. This resulted in unequal access to economic and social opportunities, poorly located lower-income settlements, insufficient public transport and spatial structural elements.

Regarding the long-standing modernism and postmodernism discourse, the pendulum has plainly swung back to post-modernism and alongside it, an enthusiasm for the intensity of local government and associations to take forward the possibility of democratic planning. This was in keeping with the standard improvement thinking with its emphasis on local economic and political strengthening (Mohan and Stokke, 2000). This included how culture and setting shape learning and conduct (Storper, 2001). There is a presumption that society can be changed from the “bottom up”, and that simple local procedures can change the more extensive circulation of resources and power (Fainstein, 1995).

It is the aspects of this theory that this study aims to test. It will examine the extent to which postmodern planning allows for democratic planning and community participation and involvement. Another aspect of this theory that this study aims to test is the process of communication during which poor or vulnerable groups are allowed to voice their challenges and provide knowledge and solutions for the re-blocking of informal settlements. This is important, as re-blocking is a community-based planning process that allows citizens to dictate

the agenda of development. In this way, it produces an open market which is more readily receptive to the needs of the beneficiaries (Verba and Norman, 1972).

The last aspect of this theory that this study tests is the collaboration between different stakeholders within the re-blocking of informal settlements. Although re-blocking is an alternative that replaces the reliance on state-controlled and top-down processes, its success is also determined by the ability of the community to successfully interact with other stakeholders, mainly the government, private sector and non-governmental organisations.

3.3.2. Advocacy Planning

Advocacy planning represents a breakthrough from rational planning which relies entirely on experts' views and is regarded as one of the early postmodern opponents of comprehensive rationalism. The advocacy planning theory is the foundation of participatory planning. Davidoff (1965) states that planners ought to be adaptable and know about the qualities of the environment in which they work. Moreover, they must understand the diversity of the groups that they engage with, and their distinctive qualities and interests, thereby avoiding bias.

The purpose of advocacy planning is to provide room for the expression of pluralistic and conflicting social values and interests, mainly focusing on reaching previously disadvantaged groups such as the poor, informal settlement dwellers, racially discriminated and gender oppressed groups with the emphasis on promoting social justice and equality in the planning processes (Davidoff, 1965). As the essence of community participation, advocacy planning ensures that the vulnerable group's interests are considered and represented during the decision-making processes (Lane, 2005).

It is clear that the advocacy model rejects modernist planning rationality and acknowledges the different values, interests and conflicts of communities (Ellin, 2006; Dear, 2000). Hence, advocacy planning proposes a continuation of the humanistic commitment of planning and representing the previously excluded and disadvantaged groups. The downfall of advocacy planning is that it is inapplicable in a society which is politically driven or has too much government intervention in the planning and implementation of development. In this instance, the community is not able to make decisions, hence politics dictates or influences the final product of development (Hooks, 1990).

Davidoff (1965, p.12) defines an advocate planner as "a representative of the (oppressed or excluded) individual, group or organisation. His/her role is to 'reaffirm' their (group or

individual) position/s in a language understandable to his client and to the decision-makers he seeks to convince". These are planners who consider a bottom-up approach or planning originating from below and prefer representing individuals who are denied of their rights. They trust more in participation than in the accomplishment of pre-characterised objectives (Sadan, 1997). The planner's role changed to that of representatives, and their intention is to serve as advocates for client groups from communities who need their interests protected. This also opened the door for stakeholders from various disciplines to participate in the planning processes because advocates are not only urban planners but also other stakeholders or interested groups such as non-government organisations.

Advocacy planners play a vital role in the formulation of plans and act as facilitators applying conventional methods within the new context of a specific client group (Hemmens, 1992). This means that advocacy planners, community developers and political plurality proponents become not only facilitators of community participation but also advocates of the marginalised groups' interests. They directly inform the ordinary citizens about planning issues that affect them and work out solutions collectively based on discussion. They also represent ordinary citizens before official bodies such as the city administration (Lane, 2005).

Advocate planners achieve this by creating awareness within poor communities, thus enabling them to participate in development programmes. The specialisation of experts and technical approach to planning is rejected in advocacy planning, and the physical structure and financial, social and ecological viewpoints (sustainability) of city planning are advanced. In the future, community participation projects should not be tied to technical plans created by unaffected bodies, for example, the government. Rather, these projects should encourage communities and other interested groups or affiliations to devise their own plans for their neighbourhoods (Angotti, 2007).

As mentioned above, the role of advocate planning can be undertaken by different stakeholders representing the interests of the vulnerable groups. In the context of this study, these advocates include NGOs. NGOs provide insights into and allow for a better understanding of generalised planning assertions. Their association with different establishments varies, relying upon their objectives and the purpose for which they were established which is set out in their founding documents.

The NGOs that are part of this study are the SDI, ISN, CORC and FEDUP. However, in spite of the fact that all these NGOs have the characteristics of advocacy planning, not all fall under

the advocacy-planning umbrella. These NGOs incorporate the characteristics of advocacy planning by buying into rules that speak to the poor's readiness and capacity to coordinate their own particular improvement intercessions.

The study examines the extent to which advocacy planners close the gap between the community and the local authorities and create an environment where both parties can achieve a common understanding. "It is often impossible to engage in community participation without considering the concept of representation; this is because even in the most democratic participatory processes, not everyone can be involved at every stage of decision-making" (Jordhus-Leir and De Wet, 2013).

3.3.3. Collaborative/Communicative Planning Theory

Habermas (1984) built a hypothesis of open reason as an option to rationality in planning, in which claims are legitimised, needs distinguished and methodologies are built, not on scientism, but rather on communication and open civil debate. The epitome of communicative planning is establishing how different stakeholders and communities work together through effective communication. It is possible to avoid conflicts and reach a consensus and an agreement (Healey, 1999 cited in Haarstad and Holgersen, 2009). This theory is more objective than the modernist approach whereby the apartheid government made decisions intended to isolate people and prevent them from contributing to the planning process.

Similarly, the "communicative planning theory", a term coined in 1989, is one example of a participatory planning approach used by planning theorist, John Forester (Mohammadi, 2010). Furthermore, "communicative planning has been widely accepted as planning theory's emerging paradigm and is now dominating planning scholarship and practice" (Innes, 1995, p.183). It has been recognised that "this is because many planners today agree that planning should be a process of facilitating community collaboration for consensus-building" (Voogd and Woltjer, 1999: 835) (Huxley and Yiftachel, 2000). It is particularly popular in local and regional planning because of its many recognised social and organisational benefits, such as broader stakeholder involvement (Mandarano, 2008).

Communicative planning proponents emphasise its capability of mobilising the abilities, creativity and self-empowering potential of a community. Communicative planning involves people in the planning process by taking their views through communication and is focused on the process of plan-making rather than the plan itself. Communicative planners view planning as a form of communicative action where planning becomes a social learning and culture

building experience that produces a system of shared meanings between the planners and the public.

Building on the work of Habermas, Healey (1996) developed her theory because of the social injustice and failure of modernist plans, and the problems of policy making which encouraged individualisation and materialistic orientation. Collaborative planning is established on the conviction that basic leadership should come about through legitimate exchanges with a range of partners (Healey, 2003). This planning approach depends on the idea of planning as an interactive procedure focused on participation where accord building and legitimate exchanges are basic components (Innes and Booher, 1999). The approach includes embracing styles of dialogue that allow the views of a wide range of participants to be explored and investigated (Healey, 1996). Bearing in mind the end goal of cultivating a shared vision, Healey (1996) highlights the significance of presenting the views of individuals who have a stake in any project.

Therefore, collaborative planning is, in this manner, viewed as a methodology to manage problems where different practices have failed. It is one of the reactions to changing conditions in the social order where access to information is disproportionate, learning in communities is developing and where achieving anything noteworthy or creative requires effective linkages among numerous players (Innes and Booher, 1999). The responsibility of planning is entrusted specifically to participants and their inclusion in the planning procedure which should advance the shared interests of all involved (Gunton and Williams, 2003). Consensus building and debates are consequently imperative components of collaborative arrangements.

The re-blocking of informal settlements provides a platform for the community to debate issues that affect them. An approach along these lines investigates the ability of an intuitive procedure to change the practices in the convention of spatial management. Change could occur by focusing on the design procedure, and by making it socially just and comprehensive (Healey, 1997). Thus, the collaborative planning theory depends on an understanding that planning falls under a systematised governance process that is moulded by more extensive financial, social and natural powers that structure communications but do not decide them (Healey, 2003).

The community, non-governmental organisations and the municipality working collaboratively to co-produce solutions for improving shacks and service delivery, implemented the re-blocking project of KwaMathambo through organised networks (Bolnick, Ikhayalami and CORC, 2012). The impact of collaborative planning in re-blocking further enhances social

capital through capacity building, accessing information and networking that benefits the community beyond the preparation of particular designs (Gunton and Williams, 2003).

The principle of collaborative/communicative planning that this study tests is the ability to acknowledge competing interests. To achieve a commonly accepted result, a variety of stakeholders ought to participate in the process. This is more likely to achieve results that are in the best interests of the general population.

3.4 Conclusion

This chapter dealt with the conceptual and theoretical framework of the study. It has explored whether community participation has contributed to the re-blocking of informal settlements. This chapter also examined how re-blocking can be used as a tool to achieve sustainability in informal settlements and enhance community participation. Moreover, this chapter sought to establish the extent to which community participation, collaborative or communicative planning measures in the form of theories and concepts have been adopted to enable community participation in the re-blocking processes.

Chapter 4: Literature Review

4.1 Introduction

This chapter will establish the extent to which community participation improves the success of re-blocking informal settlement projects. This is accomplished through the survey of literature regarding the continual growth of informal settlements in developing countries. Secondly, this study reviews literature centred on community participation in the planning and re-blocking of informal settlements. Thirdly, this chapter looks at both international and local practices of community participation in the planning and re-blocking of informal settlements.

The literature review aims to reveal the importance and results of direct involvement of the communities in re-blocking projects. Fourthly, the literature seeks to establish the role of government institutions in the enhancement of community participation and support of the re-blocking processes. This is done by looking at the involvement of government institutions, legislation and policies that guide or support the participation of communities in such programmes (Williams, 2006). Lastly, this chapter reveals the challenges faced by communities and supporting external stakeholders during the re-blocking of informal settlements.

4.2 The Prevalence of Informal Settlements in Developing Countries

Informal settlements are a “last resort” to access housing for more than 800 million people in the world. These people are vulnerable to eviction and they, therefore, live in consistent dread of being ousted or losing what they call home on a daily basis (Whitehouse, 2005). As a way of housing themselves in African cities, between 75 and 99 per cent of urban residents live in informal settlements or slums (Giddings, 2007, p.11; Carrington, 2015). Many scholars argue that informal settlements and their continued growth are a result of the failure to address housing issues in African cities (Giddings 2007, p.11; Carrington 2015). Informal settlements are one of the housing typologies of African cities with roughly 200 million informal settlers which represents about 20 per cent of slums around the globe (The University of Dublin, 2015).

Musewe (2012) states that this is caused by the fact that Africa is the second most crowded continent and, as a result, urban areas are experiencing most the significant population growth rate on the planet. The population expansion is predicted to increase from 1 billion in 2015 to between 3.5 and 5 billion in 2100 (Carrington, 2015; The University of Dublin, 2015). According to Masilela (2012), excessive population growth means that by 2030, African cities

will have to provide housing to more than 300 million new residents, thus further exacerbating the challenge of providing adequate housing.

4.2.1. The Causes of Informal Settlements

The UN-Habitat (2015, p.2) states that “informal settlements are caused by a range of interrelated factors which include population growth, rural-urban migration, lack of affordable housing for the urban poor and weak governance. These conditions are worsened by failed policy implementation, poor urban land management resulting in land speculation and grabbing and lack of economic growth”.

The failure of state interventions such as inclusive housing policy, legislation, public and private markets, delivery systems and urban planning has led to housing backlogs, inadequate infrastructure, poverty, unemployment, inadequate service delivery and the growth of informal settlements. The state intervention mentioned above shows that African governments are still confronted by the difficulties of poor living conditions and destitution. They have not yet been able to eradicate the problem or provide conditions in which the poor can both be housed properly and receive sufficient services in urban regions (Huchzermeyer and Karam, 2006).

The failure of state interventions in African cities is a result of global, national and local policy failure. For instance, the influence of neoliberal policies on a global scale has resulted in weak governments and escalated the growth of informal settlements. This is because African national governments were and are still subjected to international power which deprives them of central control. The calamity of housing delivery and basic services is primarily a result of the pro-market and growth-oriented policies as Satterthwaite (2001, p.135) states:

“Perhaps the single and most important factor in the limited success or scope of so many housing and urban development projects supported by governments and international agencies over the last 40 years is the lack of influence allowed groups of urban poor in their conception, location, design, resource mobilisation and management, and evaluation”.

Dealing with the inaccessibility of land is the greatest housing delivery issue imperative in African urban areas. Land inaccessibility is a constraint caused by high land costs for land close to the CBD making it unaffordable to house the urban poor who end up in informal settlements (Khan, 2003). Much land owned by the government is subject to development hindrances such as the presence of dolomite and is subject surface mining which makes the development of housing expensive (Dyanty 2007, p.80). Other landowners are the private sector and tribal

authorities. This land is subject to speculation, traditional authority politics or existing development, or development that is planned but awaiting funding, approval or feasibility assessment.

Consequently, numerous poor and low-income households remain barred from access to land and formal housing. Therefore, vacant or unused land on urban edges becomes prey to the urban poor, including migrants looking for job opportunities (Yuen, 2007; Schlyter, 1995). Informal settlements have no security of tenure because dwellers occupy and subdivide land through illegal means such as invasion, backyard dwellings, renting a piece of land, occupation of dilapidated buildings in cities and political-led invasions (Durand-Lasserve, 2006). As a result, informal settlement dwellers do not possess proof of occupancy or tenure for their makeshift housing.

The UN-Habitat (2006) further states that informal settlements are characterised by inadequate infrastructure and housing, and they lack basic services in the form of access roads, water and sanitation, refuse disposal, electricity and social infrastructure such as health and educational facilities, resulting in exposure to disaster-prone areas which also have a high risk of health hazards. This is because informal settlements are illegally built on public or private land within an urban area or are located in environmentally sensitive areas without any consideration of municipal building regulations (Abbot, 2001).

Informal settlements are characterised by a high population density and occupancy rates which are a result of “shacking-up” where dwellers are living with their families because informal settlements are located in areas that are advantageous in terms of employment opportunities, and there is access to social facilities even though much of the population and workforce remain poor (UN-Habitat, 2003). Other contributors are the fact that informal settlement dwellers do not own the land that they occupy and they, therefore, live in fear of eviction. If they manage to stay on the land, the settlement is not allowed to expand, and the shacks become very dense (Durand-Lasserve, 2006).

Often people build close together so that new shacks will not get noticed and destroyed by the government and rightful owners of the land. This causes informal settlements to be densified and when a fire occurs, most of the shacks, if not all, burn because they are very close together and there are no access roads or space for emergency vehicles (SDI, 2012). In some communities, the only space that is not for shacks is the paths between the shacks. Most causes

of fires in shack settlement are due to candles, paraffin stoves and explosions caused by illegal electricity connections (SDI, 2012).

According to Nathan (2013, p.1), the rapid increase of unemployment is one of the causes of informal settlements because in Africa, most people, especially the poor youth, come from impoverished communities, largely in rural areas, and they move to cities for better economic opportunities. The population of KwaMathambo migrated from different rural areas driven by poverty to seek employment opportunities. The HDA (2013, p.24) concurs in their statement that unemployment rates are noticeably higher in informal settlements and that this is consistent with informal settlements acting as “arrival cities”, accommodating those seeking an entry point into the labour market.

Furthermore, Barry (2003, p.5) argues that employment opportunities available in African cities cannot sustain urbanisation. Because of high unemployment, African cities are dominated by platforms of informal economic activities whereby masses of people operate in informal trading and generate incomes for themselves. Pieterse (2011) notes about 60 per cent of urban residents in Africa obtain employment and incomes from the informal sector. Pieterse (2011) expresses the view that the poor urban youth engages in violent activities, in some instances as a result of extreme deprivation that marks their background and societies. In the case of KwaMathambo, the unemployed also turned to informal economic activities such as tuck shops, selling “fat-cakes” and other fasts foods and internet cafes. Mostly these activities are run from shacks. This settlement is affected by the high rate of crime and drug abuse among the youth as a result of unemployment.

4.2.2. The Characteristics of Informal Settlements

The characteristics of informal settlements include “illegality and informality, inappropriate locations, restricted public and private sector investment, poverty and vulnerability and social stress” (Department of Human Settlements, 2009). Informal settlements are a common type of housing in urban areas in developing countries, especially on the African continent. Informal settlements accommodate an extensive variety of social groups and are dominated by a majority of poor households.

These settlements present unique challenges for all African governments in their quest to achieve sustainability and gain a world-class standard in African cities. Informal settlements remain as blemishes on governments across the board over significant urban areas in Africa.

They involve land invasion, are unsustainable in terms of construction because informal settlements consist of non-conventional housing, and are built without conforming to legitimate building strategies.

Informal settlements are generally built at the edge of urban areas where land is cheap, neglected, has high crime rates, diseases and environmental pollution (Moser and Satterthwaite, 2008; Mahanga, 2002). In contrast, formal settlements in the form of low-income or social housing provided by the government are normally better situated. However, slow housing delivery has resulted in informal settlement residents relocating to the periphery of the urban areas. However, these settlements have a lack of tenure because shack dwellers occupy land illegally, and often at very high densities.

The urban poor utilise rescued materials like wood, tins, corrugated iron and other materials to construct their settlements. Consequently, these settlements are viewed as sustainable because a traditional shack is comprised of nearly 100 per cent recycled segments or materials discovered near the site. Also, the settlement is constructed utilising the abilities and innovation accessible inside the family and community. This improves resource preservation, is economically sound and opens opportunities such as employment and financial freedom to households (Iurah, 1999).

4.2.3. Challenges in Informal Settlements

As mentioned above, informal settlements are self-constructed structures by poor households using mud, wattle walls, straw roofs, corrugated iron and other scavenged materials in violation of standard national and local building bylaws. Furthermore, these structures have no foundations which means that floors are earthen. Informal settlements are generally constructed using temporary materials which are viewed as unacceptable for the development of housing that does not subscribe to building principles and various formal requirements (UN-Habitat, 2003; Vanneste, Claes and Marais, 1999). However, informal settlements “pose risks to the health, safety and physical well-being of their occupants, neighbours and visitors”.

Thus, these makeshift dwellings are considered unsustainable because they lack proper infrastructure and basic services that include an adequate water supply, sanitation, drainage, waste disposal and proper road access. Dreadful living conditions originating from poor indoor air quality because of deficient ventilation and the utilisation of combustibles like charcoal, coal or paraffin and inadequate services, bring about the spread of infectious diseases

(Cairncross et al, 1990). Additionally, informal settlements are prone to fires and diseases and contribute to environmental degradation and crime.

According to Misselhorn (2008), informal settlements, because of their illegal, unplanned and sometimes temporary nature, serve as “holding places” to their inhabitants. Misselhorn (2008) also asserts that informal settlements provide their inhabitants with access to urban surroundings at a cheaper cost and the opportunity to use various informal survival methods.

The UN-Habitat (2001, p.168) defines informal settlements as:

“i) Residential areas where a group of housing units have been constructed on land to which the occupants have no legal claim, or which they occupy illegally.

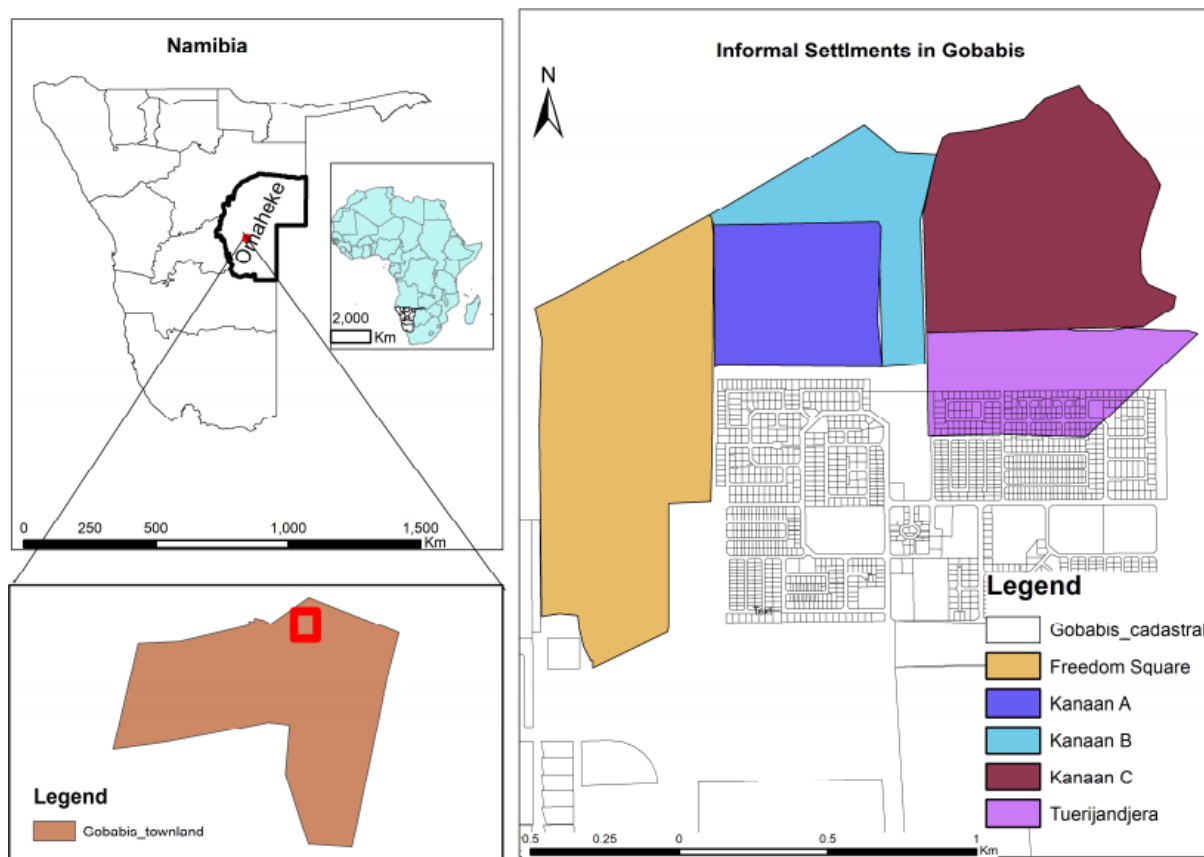
ii) Unplanned settlements and areas where housing is not in compliance with current planning and building regulations; unauthorised housing”.

The KwaMathambo informal settlement is located on land that is unsuitable for development. However, Boaden and Taylor (2001, p.147) argue that the re-blocking of settlements presents an incentive for the poor to house themselves. This study also considers that informal settlements across the world vary in size, location and housing type. In this instance, the study emphasises the characteristics of informal settlements and the initiatives undertaken to improve them with the aim of encouraging the involvement of the community in the re-blocking of informal settlements.

4.3 Community Participation: A Prerequisite for Successful Re-Blocking in an International Context

The case study of Namibia Freedom Square re-blocking project which is a settlement situated in the city of Gobabis located in the Omaheke region of Namibia 200 km from Windhoek. Its colloquial name is “Damara Block” because most of its residents are Damara speaking. According to the enumeration done in 2012, Freedom Square has 1962 structures/shacks mapped, 709 heads of households, 436 males and 273 females. The settlement had a total number of 3149 occupants of which, 1500 are male, and 1649 are female (SDFN and NHAG, 2014; SDI-AAPS Planning Studios, 2014).

Map 1: Locality Map of Freedom Square in Gobabis, Namibia



Source: (Mabakeng, 2018, p.16)

The re-blocking of the Freedom Square informal settlement was influenced by an exchange that occurred in March 2012 between Cape Town and Stellenbosch with municipal councillors and authorities from three neighbourhood areas (Gobabis, Grootfontein and Keetmanshoop). This was done in order to find out how communities and local authorities could utilise enumeration and mapping data gathered by the community to redesign and develop their settlements (SDFN and NHAG, 2014; SDI-AAPS Planning Studios, 2014).

Following the exchange, the community proposed the re-blocking of the Freedom Square informal settlement, collaborating with the Shack Dwellers Federation of Namibia (SDFN) and Namibia Housing Action Group (NHAG). The activity was accelerated by the making of the Memorandum of Understanding (MoU) with the region and SDFN and NHAG on 15 August 2013. With the help of SDI and the Association of African Planning Schools (AAPS), the re-blocking exercise included the Land Management and Architecture Departments of the Polytechnic of Namibia (PoN), included in the MoU, made amongst PoN and the SDFN and NHAG in February 2012.

The re-blocking of informal settlements have been used as one of the alternatives for improving the living conditions in informal settlements through collaborative planning that includes a very high level of community participation (SDI, 2012). This is the result of popularity gained by community participation in the improvement of informal settlements following publications of authors such as J.F. Turner between the 1960s and 1970s whose principles have been shared across developing countries.

4.3.1. Lessons and Principles of Re-Blocking in Freedom Square

Critical to building bridges for the community of Freedom Square and local authorities of Namibia was to reach a common understanding that included enumerations, exchanges and building partnerships (SDFN and NHAG, 2014; SDI, 2014). The enumerations exercise includes the community acquiring useful information and getting to know their settlement. This was achieved by a citywide enumeration programme through the Community Land Information Programme (CLIP) which empowers the community to meet up to talk about their needs and the results of their enumeration while strengthening social ties of the community (Makau, 2011).

The exchanges of information enable communities and local authorities to explore and learn from other local authorities and communities about upgrading such as re-blocking which is an alternative to the improvement of informal settlements (Makau, 2011). Moreover, the partnerships that emerged from the engagements enabled participatory planning studios to be established in Gobabis, leading to active participation from various layers of stakeholders at neighbourhood, local, national and international levels. This was called “knowing your settlement” and paved the way for upgrading.

The processes above created awareness amongst the community regarding their development needs with water and toilets as priorities, and facilitated interaction between the community and local authorities (SDNF and NHAG, 2014). The Community Land Information Programme included multi-stakeholder participation which included actors such as the SDNF, Municipality of Gobabis, NHAG and community. The enumeration and mapping in Gobabis in 2012 covered all four informal settlements with a total of 9200 people (SDNF and NHAG, 2014; SDI, 2014).

The most important component of the re-blocking process was the feedback meetings which created platforms for bringing together key stakeholders and beneficiaries to discuss the enumeration results and share future development plans. The community used this new

platform in July 2012 to express their anger and frustration regarding proposed relocations by the municipality (SDFN and NHAG, 2014; SDI, 2014). Subsequently, SDFN and NHAG (2014) created a learning opportunity about re-blocking and in-situ settlement upgrading for the community and the local authority during March 2013; an exchange in the Western Cape in South Africa.

4.3.2. Mapping of Freedom Square

The community members from the nine blocks of the settlement demarcated for the enumeration exercise were divided into groups with the students to carry out the site analysis, focusing on mapping elements such as water drainage and different land and structure use such as dump sites and areas considered hazardous in the settlement (SDFN and NHAG, 2014; SDI, 2014). Available basic services including communal water taps, toilets and electricity distribution boxes were recorded. For environmental protection, identification of protected trees was also vital.

The community members teamed up with the students to identify the use of the structures in the nine blocks, utilising local information to clear access to services in and outside the blocks and clarifying the circulation routes for pedestrians and vehicles (including donkey carts) in the settlement (SDFN and NHAG, 2014; SDI, 2014). The information obtained by the teams was mapped and presented to the wider community before it was shared with the municipal officials and councillors (SDFN and NHAG, 2014; SDI, 2014). Furthermore, confidence built among the unemployed youth and new leadership emerged in the process (Makau, 2011).

The feeling of ownership of the project made the participants in the exercise determined about being involved in their own development and started planning to strengthen their social networks through the formation of saving groups (Makau, 2011). Discussions about saving practices took place amidst the mapping exercise and presentation of the maps. Community members eager to start saving groups arranged with the SDFN facilitators to establish groups and to meet in the settlement. This was a shift in the local organisation of saving groups in Gobabis, as they previously had to meet at the plots where the first Gobabis groups built their houses (SDFN and NHAG, 2014). The formation of the saving groups was encouraged to enable future community participation in development (Huchzermeyer, 2004).

The community understood that although not being able to start with construction, they could start to prepare themselves through the creation of 19 saving groups with a total number of 690

members and managed to save USD 6700.00 in six months. A new relationship developed between the community and local authority. Each block was represented at this meeting and committed members continued to represent their blocks in the follow-up and preparatory meetings for the second studio (SDFN and NHAG, 2014; SDI, 2014). Active participation by the community members enabled the development of an upgrading team from the community that could ensure that the planning became a practice in their settlements.

4.3.3. Cluster and Layout Design

The second studio of the re-blocking of Freedom Square informal settlement included layout designing and clustering of units. This session included different stakeholders ranging from the community/beneficiaries, town and regional planning students from the Polytechnic of Namibia that were part of the main studio amid September 2013, local government and external organisations such as NGOs (SDFN and NHAG, 2014; SDI, 2014).

The second studio began on 7 March 2014. At the beginning of this studio, the students displayed posters of the proposed layout designs that they came up with based on discoveries during the site analysis. On a positive note, the CEO of the Gobabis municipality welcomed the participants, and then emphasised the significance of the settlement inhabitants and municipality beginning to do their work for the Mass Housing Development Program that would benefit the settlement in the coming months (SDFN and NHAG, 2014; SDI, 2014).

As the design process got underway, it was highlighted that focus should be placed on the ways that single blocks fitted into the bigger picture of the settlement. Firstly, community members began by pointing out the major access routes and roads, meeting areas, hazards and areas that are most affected by flooding in the settlement. Each group had to present their results on a large map. Block 8 and 9 were on the northern edge of the settlement and Block 1 and 2 were in the south-western corner.

There was great interest in community gardens, as the natural flow of water through the settlement presented opportunities for urban agriculture. The drainage pattern of the area was established by the community during site analysis at the main studio. Block 9 was established as the catchment area for water runoff coming from the steep side of the settlement, flowing downwards to Block 1 and 2. The community garden was to be situated by Block 1 and 2 which is the lower side of the settlement prone to flooding (SDFN and NHAG, 2014). The proposed

community garden was justified by the need to diminish poverty by utilising the produce from the garden to support the elderly and orphans of Freedom Square.

One of the hindrances to the stream of water in the settlement was the dyke built by the municipality to prevent vehicles from taking an alternate route through the area (SDFN and NHAG, 2014). This blocked the natural flow of the water causing the water to collect at the lower parts in Block 1. A huge problem was that households whose shacks are normally flooded during the rainy season occupy the area. During the previous studio, community members also talked about the seasonal migration that takes place within the settlement when the relocating of houses took place in order to avoid flooding.

During the rainy season, the harm caused by the rain was immense, and this forced a few family units to be moved. The sanitation choices were explained by the Gobabis Community Development Officer when sharing the local authority's experience and different sanitation methods used in Kanaan. The rains affected the shacks towards the edge of the north-eastern side of Freedom Square. This was because of a high water table in the area and the absence of dry sanitation management. Hence, the dry sanitation system that had been implemented in Kanaan was found to be unfeasible. The community members and small groups saw that there was a need for infrastructure such as a storm water drainage system. The initial exercise considered the entire settlement to establish a broader development framework.

Other important issues that caused heated debate were the location of shebeens, concerns about registration and ongoing noise through all hours of the day and night. The community recognised the importance of shebeens as the only way of generating income for some households, thus negotiations for suitable locations were made. Re-blocking layout and design groups proceeded as per the divided blocks of Freedom Square, with groups still made of community members, town and regional planning students and expert staff (SDI, 2014).

However, progress was hindered by flooding. Participants requested a visit to those who were affected. A walk through the settlement was taken before the planning session to examine the impact of the floods in the previously affected area that was highlighted on the map using GPS. The town planning lecture clarified the drainage shown on the settlement map. The community was expected to take this into account when analysing the pathways and proposed street format for the settlement. Thus, for the design, participants had to take the current roads and water

catchment areas into consideration. Members needed to take into account the water catchment areas when determining the routes of streets.

4.3.4. Reflections of Community Participation in Re-Blocking

The common planning approach is the usual way authorities inform the community about the plans of the municipality for developments in settlements. Consultants are hired, and plans are drawn up. Ultimately, this side-lines the community and limits their input and advice on how they can assist in achieving the wishes of the community. Power is placed in the hands of the local authority and residents are forced to comply. In this instance, the studios gave life to the bottom up planning process that ensures that the community's needs are taken into consideration (SDFN and NHAG, 2014; SDI, 2014).

The ideas for the plan come from the lowest level of the planning process, in other words, from the community that is to be planned, and upwards to the local authority and government who, in turn, must approve the plans. Studios also gave a clear look into the community's abilities and willingness to bring change to the settlement. In Freedom Square, this was reflected in the community's enthusiasm and drive during the design process. The studio highlighted the clear understanding that informal settlement residents are an important element in the development process, with enough knowledge and understanding of their settlement to contribute positively to change (SDFN and NHAG, 2014; SDI, 2014).

Having the local authority present in the exercise gave time for proper engagement on the community development officer's role in the settlement, discussion on the management of public taps and the process for shebeens to be registered. The ambition of the studio is to change the mind-set of planners, as studios are the country's future town and regional planners and professionals who will be at the helm of planning. Participatory planning for the students presented them with an opportunity to plan with instead of for their clients. The Federation of the Urban and Rural Poor (FEDUP) from South Africa has a saying that "you cannot plan for us, without us, instead plan for us, with us" (SDFN and NHAG, 2014; SDI, 2014).

4.4 Legislative Framework Guiding Community Participation in Planning and Re-Blocking Informal Settlements in Namibia

This section reviews the legislative framework of Namibia that guides community participation in the planning and re-blocking of informal settlements. This is done by reviewing Namibia's legislative frameworks that seek to reinforce community participation in the planning and

upgrading of informal settlements, local governance and policymaking. This legislation and policies include the Constitution of Republic of Namibia and the National Housing Policy.

4.4.1. The Constitution of the Republic of Namibia

The Constitution of the Republic of Namibia upholds democratic planning whereby every individual and communities have the right to participate in decision-making regarding the establishment of policies (Constitution of Republic of Namibia, 1990). In this instance, citizens of the Republic of Namibia have a right to raise questions and provide input on public policy. This is done to achieve Article 95 of the Constitution which is to promote the welfare of communities (Constitution of Republic of Namibia, 1990). However, Nampila (2005) argues that the government of Namibia must establish an environment that makes it possible for communities to take part in the policy-making process.

4.4.2. Namibia National Housing Policy

The Namibian National Housing Policy seeks to address the hardships created by the previous governments which did not encourage community participation in the upgrading of informal settlements through the provision of low-income housing at both provincial and local spheres of government (Nampila, 2005). The previous era was characterised by the lack of community participation regarding representation and inputs in housing development projects. Thus, communities had no say on the location, design of the housing and services to be delivered (Namibia National Housing Policy, 1991).

The National Housing Policy now promotes community participation in the planning and implementation of housing projects. This is because it was recognised that the promotion of community participation in the development of housing can lead to successful projects and the provision of services that are needed by the community. Hence, the Namibian National Housing Policy requires that all local authorities improve their capacity to enhance community participation and support low-income communities (Namibia National Housing Policy, 1991).

4.4.3. Land and Housing Policy of the City of Windhoek

The Land and Housing Policy of the City of Windhoek aims to instate a culture of collaboration and participation with its citizens to allow communities to take ownership of projects and enhance their confidence (City of Windhoek, 2000). This is done to ensure that communities have an input on solutions for the creation of adequate and affordable housing and services. The involvement of the community in the planning and implementation was to ensure that

information is shared and awareness is created in order to prevent any misunderstanding which could possibly result in the poor delivery of housing and services.

Therefore, the Land and Housing Policy of the City of Windhoek aims to achieve this by intensifying communication between communities and local authorities through continuous consultations and constantly informing the communities. The Land and Housing Policy also urges communities to carry on building strong community organisations (City of Windhoek, 2000). However, the Land and Housing Policy does not provide a specific plan regarding how community participation and consultation is to be achieved.

4.4.4. Public Participation Policy and Strategy for the City of Windhoek

The aim of the Public Participation Policy and Strategy is to “establish a community participation approach/system that would lead to self-mobilisation of communities whereby they will be facilitated to participate in joint analyses with the council and all relevant stakeholders to improve their living and working conditions” (City of Windhoek, 2004, p.1).

Therefore, the Public Participation Policy and Strategy defines community participation as “the direct involvement and education of people through their democratically elected representatives, with the relevant stakeholders that could make a constructive contribution to the implementation of the identified projects and/or programmes” (City of Windhoek, 2004, p.1).

The objectives of the Public Participation Policy and Strategy are to promote collaboration between communities, politicians and local authorities to work as a collective in local governance. The reason for this was to involve the disadvantaged and previously marginalised groups and to enable them to make decisions with regards to their needs.

4.5 Community Participation: A Prerequisite for Successful Re-Blocking in a Local Context

In the Case of Mtshini Wam, Cape Town, an informal settlement developed in 2006, it was started by backyard dwellers from Joe Slovo Park in Milnerton, Cape Town. The backyard dwellers invaded and occupied an open space in-between formal subsidised houses between the corner of Hlosi Drive, Ingwe Drive and Democracy Way (SDI, 2012). The Anti-Land Invasion Unit marked the settlement for demolition but the South Africa National Civic Organisation (SANCO) managed to resist against evictions, and the settlement continued to

grow. The reason for the development of the Mtshini Wam settlement was what Huchzermeyer (2006) terms “informal land occupation as innocent human needs-led development”. Historically, informal settlement development points to gradual word-of-mouth processes that arise directly out of an urgency for accommodation (Huchzermeyer, 2006).

For instance, most of the dwellers from the KwaMathambo case study heard through word-of-mouth that there was land to build on which was offered to a gardener (i.e. employee) who was given permission to erect a shack on the land which was owned by his employer (SDI, 2012). The enumeration done by the Informal Settlement Network found that the Mtshini Wam informal settlement had 497 inhabitants, occupying 250 shacks, characterised by a lack of adequate water and sanitation, as the settlement only had six chemical toilets and two taps to service the whole community (SDI, 2012). The reason for upgrading Mtshini Wam was due to the recognition of the need to address the challenges of the settlement by the community in a coordinated effort with the City of Cape Town and NGOs. Re-blocking was aimed at ensuring the rapid delivery of emergency relief measures and basic interim services (Misselhorn and Zack, 2008).

The Mtshini Wam settlement was characterised by a lack of adequate services attributed by overcrowding and had high densities which left no access for emergency vehicles. This hindered the municipality’s service delivery. Additionally, Mtshini Wam is subject to major geological difficulties and vulnerabilities (particularly for females utilising toilets around evening time), issues of safety and security, the absence of wellbeing and flooding. The settlement had narrow pathways amongst shacks. This made moving around difficult, particularly during the rainy seasons as the area was also inclined to flooding. Furthermore, this resulted in the spread of water-borne diseases. The community of Mtshini Wam has incorporated itself into the area, and the community made arrangements to share space, electricity and water with formal house owners (SDI, 2012). However, the intersecting electrical cables between the formal houses and shacks remained a major safety concern.

4.5.1. Application of Community Participation in Re-Blocking

Following the achievement of the re-blocking venture in Sheffield Road, a formal association between the SA SDI and municipality of Cape Town resulted in an agreement to upgrade informal settlements incrementally (Tshabalala and Mxobo, 2014). Mtshini Wami was among the 21 casual settlements in Cape Town to be upgraded through this new participatory approach consented to by the Community Organisation Resource Centre (CORC) and the ISN that signed

a Memorandum of Understanding (MoU) with the City of Cape Town (CoCT) in April 2012 (SDI, 2012).

The re-blocking of Mtshini Wam was to enhance the living conditions in informal settlements. This included providing road access to emergency vehicles while improving the delivery of basic services (Misselhorn and Zack, 2008). According to Misselhorn and Zack (2008), the re-blocking of Mtshini Wam was a vital commitment to national and international development goals, including the 2014 Millennium Developmental Goals (MDGs), for instance by methods such as the provision of basic services including water and sanitation at a significant scale (Misselhorn and Zack, 2008).

The key consideration of re-blocking was the provision of infrastructure and housing construction through the re-erecting of structures in low-lying, flood-prone areas. The Inverted Box Rib (IBR) tool was used to modify the top-structures with galvanized steel sheets with high fire resistance ratings as a means to prevent fires, support environmental components and encourage social and community development (Hendler, 2014).

In the case of the City of Cape Town, informal settlements that need re-blocking can be pointed out by either the local community, Informal Settlements Department, Disaster Risk Management and Fire Services, the Health Directorate and other related role-players (SDI, 2012; Tshabalala and Mxobo, 2014). The Informal Settlements Department ensures that the settlements identified for re-blocking are recorded in the city's IDP to guarantee the distribution of budget. The city will look for associations with community organisations to facilitate the re-blocking. These partnerships may be at a level of collaboration or established supply chain management processes.

The roles and obligations of the different partners will be captured in a project-specific Memorandum of Understanding. The MoU will, likewise, incorporate the nature and type of commitments by the different partners (SDI, 2012). A Project Steering Committee is established for each project with the Terms of Reference for Project Steering Committees, created by the Human Settlement Directorate, who will manage their establishment, functions and capacities (SDI, 2012; City of Cape Town, 2013). Notwithstanding, the roles and obligations set out in the Terms of Reference, other project particulars such as duties are captured in the Memorandum of Understanding between the participants.

The Informal Settlements Department, in association with the participants, will undertake a complete review and enrolment of all households in the planning of re-blocking projects (SDI, 2012; City of Cape Town, 2013). The data that is gathered will incorporate inter alia, details of the interests of all the family units in the settlements, current spatial format, level of services and other relevant data. This data is then converted into a settlement profile which will give data about the occupants, housing, quality of services and environmental conditions. This data is then used to guide needs and is the most important aspect to be achieved by re-blocking. The habitants' names, ID numbers and the location of their shacks will be stored in a central database created for the project and owned by the city. Moreover, this database will be utilised to facilitate tenure choices (SDI, 2012; City of Cape Town, 2013).

4.5.2. Lesson Learnt from the Case Study of Mtshini Wam

The community planning and re-blocking their settlement with the support of relevant NGOs and city departments were in charge for the area mapping, clustering plan and the implementation of the overall re-blocking plan (City of Cape Town, 2013). The re-blocking plan will incorporate the agreed settlement outline and design, stand sizes, top structures, standards and models. The different stakeholders are responsible for executing their roles and duties as contained in the Memorandum of Understanding (City of Cape Town, 2013).

The community exhibited civic responsibility in changing their settlement into more liveable, secure and dignified places. The pro-activeness and independence of the community has provoked a restored association with the municipality, establishing a long-term and sustainable partnership for the delivery of services (SDI, 2012). With help from CORC and the ISN, the community is organised into collectives of informal settlements networks where communities share their experiences and strategies to improve their settlements.

Mtshini Wam has turned into a "learning focus" for a rich exchange on conceivable outcomes for informal settlement upgrading in Cape Town. Clearly, this re-blocking demonstrated that community participation can be achieved. On the other hand, this enhanced community participation results in the successful re-blocking of informal settlements. As is evident in the case of Mtshini Wam, re-blocking provides methods for the upgrading of shacks, and the delivery of basic services is improved in informal settlements while not changing their location (SDI, 2012; Tshabalala and Mxobo, 2014). The experience of Mtshini Wam showed that re-blocking could be used in the long term as a tool for upgrading informal settlements.

4.6 Legislative Framework Guiding Community Participation in Planning and Re-Blocking Informal Settlements in South Africa

This section presents the extent to which South African legislative and policies guide the participation of communities in the planning and re-blocking of informal settlements. This is achieved by reviewing the South African legislative framework that seeks to reinforce community participation in the planning and upgrading of informal settlements, local governance and policymaking. This includes The Constitution of the Republic of South Africa, National Housing Policy and the Integrated Development Plan (Huchzermeyer and Karam, 2006).

4.6.1. The Constitution of the Republic of South Africa

The South African Constitution provides the general framework in which laws and regulations are made. It is intended to address the inequalities of the past and bring about a society grounded on social justice (Klare, 1998). At the centre of the Constitution is the Bill of Rights which safeguards human rights for all citizens. The Constitution further holds the national, provincial and local government responsible for ensuring that those rights are satisfied (Ferguson, 2007). However, local government's role is developmental, as local government is the sphere that is closer to the communities (Constitution of the Republic, 1996).

The White Paper on Local Government (1998) defines developmental local government as a government which is committed to working with citizens and groups within the communities to find sustainable ways of meeting social, economic, political and material needs and improving their quality of life. Furthermore, it was stated in the White Paper on Local Government (1998) that developmental local government can be achieved by means of intensifying participation by allowing the poor and disadvantaged people to voice their concerns.

This required that new ways of involving, consulting and mobilising the people be developed with the intention to inform and influence changes in institutions and policies (Section 152 (1) (e) of the Constitution, Act 108 of 1996). Emphasis was placed on finding strategies to enhance the transparency and openness of institutions and policies via transformation of institutional plans with a focus on achieving good governance (Section 195 (1) (e) of the Constitution, Act 108 of 1996; Cornwall and Gaventa, 2001). This proposes consistent collaboration between policy makers and those affected by the policy.

Section 26 of the Constitution of the Republic of South Africa (1996) states that all citizens have a right to access adequate housing. This arrangement is a clear break with the apartheid policies based on racial segregation which resulted in the forced evictions of blacks to the urban fringes (Muller, 2011). Furthermore, Section 26 of the Constitution (1996) was aimed at integrating the poor into the urban areas. It rejects forced removals of those living in informal settlements and requires that they be supplied with adequate housing. In this study, adequate housing is defined as housing with legal security of tenure, availability of services and materials, facilities and infrastructure, affordability, habitability, accessibility and location and cultural adequacy.

4.6.2. National Housing Policy Relevance to Re-Blocking of Informal Settlements

The National Housing Policy includes Breaking New Ground (BNG) which is a plan for the development of sustainable human settlements (Department of Housing, 2004a). The BNG highlights the need to respond positively and cautiously to informal settlement improvement with a specific end goal to reduce the continuous growth of informal settlements. The BNG supports in-situ upgrading as a way to address informal settlements (Department of Housing, 2004a). Interventions such as new funding mechanisms are needed for the upgrading of informal settlements. This approach will maintain delicate community systems, limit interruption and, in particular, improve community participation in all areas of the advancement (Department of Housing, 2004a).

The BNG plan resulted in the development of the Upgrading of Informal Settlements Programme (UISP) which requires community participation as a prerequisite for the upgrading of informal settlements. The UISP provides for a consensus between the municipality and community to ensure that there is active community participation whereby communities take ownership of the development and projects (Department of Human Settlements, 2009). The UISP, likewise, stresses the significance of the community being engaged within all parts of the upgrading process. This is based on the grounds that informal settlements are predominantly occupied by poor and disadvantaged groups, thus there is a need for protection in order to guarantee the future sustainability of the community and settlement.

Enabling community participation in the planning and implementation of development projects such as the re-blocking of informal settlements was to guarantee that the community members are beneficiaries (Department of Human Settlements, 2009). The community is said to have deep knowledge of the needs and priorities of the settlement. Therefore, the UISP encourages

active community participation that is sensible (Department of Human Settlements, 2009). To accomplish these objectives and for participation to be possible, a plan of action is prepared. Community participation is at the centre of the UISP. One of the principles of the programme is to empower communities and their respective informal settlements through participatory upgrading of the informal settlement.

The re-blocking of informal settlements in the City of Durban has been utilised as a component of crisis reaction following catastrophes. The municipality's intervention is provided for under Housing Assistance in Emergency Housing Situations, Chapter 12 of the National Housing Code. The point of this programme is to assist individuals who, for circumstances beyond their control, cannot to cope with the disasters they face, suffer forced removals, physical demolition of shacks, become homeless, face dangers to well-being and security and find themselves in an emergency (Department of Human Settlements, 2009). In the event of a disaster, the municipality provides temporary shelter, food and materials and human capacity to rebuild the affected shacks.

4.6.2.1. The Municipal Systems Act 32 of 2000

The Municipal Systems Act 32 of 2000 stipulates that communities have a right to be involved in the decision-making processes. It further requires that every municipality develop a culture of municipal governance that complements formal representative government with a system of participatory governance. Municipalities are urged to make conditions favourable for local communities to participate in the preparation, implementation and review of mechanisms, processes and procedures provided for in the legislation.

4.6.2.2. Integrated Development Plan (IDP)

The IDP is a five-year plan required by Section 35 of the Municipal Systems Act 32 of 2000 which also defines it as a guide that informs all planning, budgeting, management and decision making in a municipality.

The IDP is defined as “participatory planning processes aimed at developing a strategic development plan to guide and inform all planning, budgeting, management and decision making in a municipality” (Madzivhandila and Asha, 2012 cited in Madzivhandila and Maloka, 2014, p.654).

The IDP processes enhance community participation in planning because at the core of this is participatory planning which seeks to enable stakeholders from various backgrounds, mainly

the community and local government, to interact in the decision-making (The Department of Provincial and Local Government, 2000).

Hence, community participation in the IDP should be based on the engagement between the community, and local government, thus communities are required to be actively involved in finding the best solutions for development (White Paper on Local Government, 1998). With regards to development planning and participation, there are two concepts that strengthen each other and cannot be separated (Tshabalala, 2006). Insufficient planning in the IDP can bring about poor participation and planning that does not respond to the priorities and needs of local communities for which it is meant. For community participation to take place, it must be planned for in such a manner.

4.7 Conclusion

This chapter explored whether community participation is the cornerstone for the success of re-blocking. This is a community-driven process which is performed as an alternative informal settlement programme. Furthermore, the role of the community in the success of the re-blocking of informal settlements is presented through the empirical evidence of two settlements that have been re-blocked. The international precedent of the Freedom Square informal settlement located in Namibia and the local precedent study of Mtshini Wam located in Cape Town were studied. Moreover, this study established whether South Africa's legislative framework has made progress regarding community involvement in the planning and implementing of their re-blocking projects.

Chapter 5: Historical Background of the Study Area

5.1 Introduction

The KwaMathambo informal settlement, which is located in Durban was used as a case study to evaluate community participation in re-blocking following the successful planning and implementation of the re-blocking project (SDI, 2016). This project was a response to a fire disaster which took place in 2016. This chapter provides the basis and reasoning of the contextual analysis.

The KwaMathambo settlement was established in 1991. It is approximately 10 kilometres north of the Durban CBD on North Coast Road in Avoca. The settlement falls under North Structure of eThekweni Municipality. The KwaMathambo settlement is located in between the formal middle-income houses of Avoca, opposite factories and major rail and public transport routes (GIS, 2017). According to community leaders, the dwellers of KwaMathambo were attracted to this area due to its proximity to places of employment and major transport routes (Respondents, 2018).

Map 2: Locality Map of the KwaMathambo Informal Settlement in Avoca



Source: (GIS, 2017)

According to Mancitshana (2012), the KwaMathambo informal settlement is a predominantly black residential area. KwaMathambo has a population of 565 people occupying 294 different shacks built on a small steep piece of land. Because of the high density, some shacks are built on top of each other (SDI, 2012). Overcrowding of shacks and illegal connections have contributed to serious fire disasters that have left the community of KwaMathambo devastated. The re-occurrences of fire disasters in the area led the community to initiate re-blocking as a response to the fire, and as a strategy to get basic services (SDI, 2012). Although, different forms of community participation such as membership-based and normal community participation influenced the re-blocking of KwaMathambo.

The process was in two different phases. Firstly, the rebuilding of the shacks that were affected by the fire was prioritised. Of those involved, 97 per cent were members of CORC. Secondly, when the municipality agreed to assist the community to rebuild, the materials were supplied to the rest of the people who were not affected by the fire. The circumstances of the area, having two different forms of community participation in one settlement, was the main reason for using KwaMathambo as a case study. However, there was a single plan designed to rebuild the entire settlement.

5.2 The Socio-Economical Profile of KwaMathambo

Evidence from the enumeration of KwaMathambo in 2012 shows that the settlement has a population of approximately 565 people, residing in 294 structures. However, only 287 structures were part of the enumeration, and seven structures were not enumerated because four of them are used as “spaza shops”, one family refused to participate, and two were not at home during the enumeration (Mancitshana, 2012). Table 2 depicts the profile of the settlement.

Table 2: Settlement Profile in KwaMathambo

KwaMathambo	Numbers
Age of Settlement (in Years)	26
Total Number of Structures	294
Total Number of Enumerated Structures	287
Total number of Structures not Enumerated	7
Total Population	565

Source: (Mancitshana, 2012)

In addition to the socio-economic profile information regarding the population of KwaMathambo, it is important to note that most of the household heads in KwaMathambo are (a total of 52 per cent) males because there are numerous shacks with just a single individual. The other individuals are related to the family unit heads in various ways such as a spouse and/or child (Mancitshana, 2012).

Table 3: Household Members in KwaMathambo

Household	Number of Proportions	Percentage (%)
Household Head	285	52
Spouse	44	8
Children	165	30
Other Family Member	49	9
Foster Child	6	1
Total of People Enumerated	549	100

Source: (Mancitshana, 2012)

It was established through the enumeration process that most of the people settling in KwaMathambo were migrants from other parts of KwaZulu-Natal (59 per cent). Many others were from the Eastern Cape (38 per cent), Gauteng (1.06 per cent) and Western Cape (0.35 per cent). Those that have lived in KwaMathambo since birth accounted for 0.71 per cent.

Table 4: Migrant Fractions in KwaMathambo

Place of Origin	Frequency	Percentage (%)
KwaZulu-Natal	323	59
Eastern	209	38
Gauteng	6	1.06
Western Cape	2	0.35
KwaMathambo Settlement	9	1.59
Total of People Enumerated	549	100

Source: (Mancitshana, 2012)

Looking at the demographic profile established during the 2012 enumeration, one can conclude that there is a high number of dependants with those who are independent only making 37 per cent of the total population of KwaMathambo. Table 5 below shows the employment profile of KwaMathambo. As per the specification, 207 occupants (37.7 per cent of 549 inhabitants) are employed. About 22.59 per cent of the population comprises of dependants, mostly children who are not employed. A huge number of individuals are jobless (a total of 34 per cent).

Table 5: Employment Profile in KwaMathambo

Status	Number of People	Percentage (%)
1- Employed Full-Time	91	16.6
2- Employed Part-Time	111	20.2
3- Self-Employed	5	0.9
4- Unemployed	189	34.4
5- Retired	5	0.9
6- Dependent (Child)	124	22.6
7- Full-Time Student	14	2.6
Unkown	10	1.8
Total	549	100

Source: (Mancitshana, 2012)

Determining the income of households through enumeration was difficult, as only 252 of the total number of 287 household heads disclosed their monthly income. Documented figures show that 23.41 per cent of the households have no monthly income. Furthermore, it was found that 50 per cent of the population of KwaMathambo earn between R1 to R2000 per month whereas 10.32 per cent of the households earn more than R2000 per month. Table 6 below shows the household income brackets of KwaMathambo.

Table 6: Household Income Levels in KwaMathambo

Income Level	No. of Households	Percentage (%)
None	59	23.41
R1 - R400	46	18.25

R401 - R800	33	13.1
R801 - R1000	41	16.27
R1 001 - R1600	29	11.51
R1 601 - R2000	18	7.14
R2 001 - R2500	13	5.16
R2 501 - R3000	6	2.38
R3 001 - R3199	3	1.19
R3 200 - R3500	1	0.4
R3 501 - R6400	2	0.79
More than R6400	1	0.4
Total	252	100

Source: (Mancitshana, 2012)

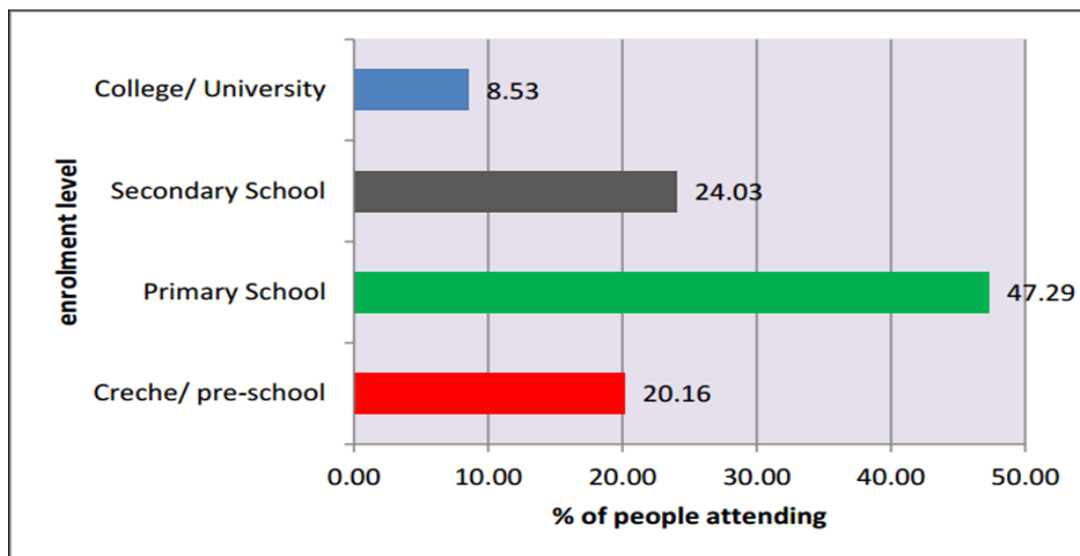
Other sources of income that the residences of KwaMathambo receive include social welfare, child support, disability and care dependency grants from the government. The table below depicts these other sources of incomes in the form of government grants received by the residents of KwaMathambo.

Table 7: Social Welfare Beneficiaries

Grant Type	Number of People	Percentage (%)
Disability	4	4
Child Support	79	87
Pension	1	1
Care Dependency	4	4
Aid Grant	1	1
Social Relief	2	2
Foster Care	1	1
Total	92	100

Source: (Mancitshana, 2012)

Figure 1: Education Profile of KwaMathambo



Source: (Mancitshana, 2012)

It was mentioned earlier that the population of KwaMathambo is very young, and this is also reflected in Figure 5 where 47.29 per cent of those attending school are in primary school. There is also a large group who attend secondary school (being 24 per cent) and small children who attend creches (being 20 per cent).

5.3 The Provision of Basic Services at KwaMathambo

The predominant housing typology in KwaMathambo is shacks which serve the purposes of residential and other commercial activities such as spaza shops. However, a few formal houses that are used for residential and commercial activities are also found on site (Payne, 2016; Mancitshana, 2012).

The municipality has provided toilets to be used by the community of KwaMathambo. Thus, it can be concluded that most of the community members use the water system toilet that is at the centre of the settlement. However, according to Mancitshana (2012), only two people use the bush as a toilet. Furthermore, Mancitshana (2012) asserted that 84 per cent of the residents do not feel safe when using the toilet at night because people must walk a long distance to reach the toilets. Safety is jeopardised by the youth using drugs which makes walking around at night dangerous.

When it comes to water services, the entire settlement uses a communal water tap which services 87 per cent of the residents. The community members of KwaMathambo are satisfied that the water from the community water tap is safe to drink. The remaining 13 per cent feel

that the water is not safe to drink (Mancitshana, 2012). Communal taps always have stagnant water on the site if there is no appropriate drainage. In terms of accessibility, some households walk long distances to reach the tap which is also not safe to use at night. Most of the people walk around the shacks to get some water for domestic purposes.















With regard to energy sources during the 2012 enumeration by Mancitshana (2012) on behalf of CORC, the entire settlement accessed electricity through illegal connections. Following re-blocking, the municipality provided the settlement with legal electricity. However, there is evidence of illegal connections still existing in the area. This electricity, however, is connected poorly and is used only to power low-power appliances such as lighting, radios and TV sets. People use other sources of energy such as gas, paraffin and wood. Considering the history of the many informal settlement fire disasters around the country, these have been fuelled by the use of paraffin for heating and cooking. This prolific use of paraffin for cooking and heating contributes to the high risk of runaway fires.

Figure 2: Different Uses of Structures



Source: (Loggia, 2017)

Figure 2.1: Legend for Different Use of Structures

	entry to the site
	highest point of site: storm water management needed
	illegal electrical connections
	internet cafe : economic initiative
	municipality intervention: staircase built
	private property
	municipality intervention: public toilets
	social space: pool tables
	alcohol store
	delivery vehicles
	small scale supermarket
	small economic oppourtunities: tuck shops, food stalls
	recycling initiative set up by community
	transport node: taxi drop off and pick up point

Source: (Loggia, 2017)

One of the important findings that the enumeration established was that 80 per cent of the total settlement consisted of one-room shack dwellings. This finding emphasises the fact that the settlement is subject to overcrowding. Table 8 shows the number of rooms per shack.

Table 8: Number of Rooms per Shack

Number of Rooms	Frequency	Percentage (%)
1	254	88.81
2	29	9.79
3	3	1.05
6	1	0.35
Total	287	100

Source: (Mancitshana, 2012)

All the shacks were constructed using cheap materials such as wood, cardboard, plastic, zinc, concrete and mud. Table 9 shows that wood is the dominant material used for

wall construction. Cardboard and plastics account for 11.50 per cent and 6.97 per cent respectively. This material increases the vulnerability of shack fires, as these can easily catch alight. This points to the need to upgrade the shacks in order to reduce the risk of shack fires.

Table 9: Wall Material

Material	Frequency	Percentage (%)
Corrugated Iron/Zinc	9	3.1
Plastic	20	6.9
Cardboard	33	11.5
Mud	3	1
Thatch/Grass	1	0.4
Wood	220	76.7
No Response	1	0.4
Total	287	100

Source: (Mancitshana, 2012)

Just like the wall material, the roofing material also varies, since the residents normally use any available material. Most of the roofs are not constructed using one particular type of material. The survey showed the different types of material which are used. Table 10 below shows that most of the shacks are roofed with plastic (65.03 per cent). A sizable number of the shacks (57 of them) use corrugated iron and zinc for roofing which accounts for 19.93 per cent of the total.

Table 10: Roofing Material

Material	Frequency	Percentage (%)
1-Brick	1	0.4
2-Cement/Concrete Block	4	1.4
3-Corrugated Iron/Zinc	58	20.2

4-Plastic	186	64.8
5-Cardboard	16	5.6
6-Tile	2	0.7
9-Wood	20	6.9
Total	287	100

Source: (Mancitshana, 2012)

Even though the shacks are constructed using sub-standard material, some people are still renting the shacks for accommodation, and mostly the people renting, and the landlords did want to be a part of the research. In terms of the study, their views were irrelevant since the landlord is the one responsible for the rebuilding of the shack and some of them appeared after the re-blocking.

5.3.1 Community Disasters and Social Ills in KwaMathambo

The biggest problems in KwaMathambo are fire and flooding. This is because the settlement is situated on a steep incline thus a large portion of the overflow water collects in some of the shacks. Only three family units have experienced community violence or brutality whilst living in the settlement. Despite the pervasiveness of illicit activities like drug dealing, the community of KwaMathambo enjoys relative peace.

5.4 Conclusion

This chapter introduced the case study of the research which is KwaMathambo. It provided a spatial location and outline of the residential area. In the outline, it was noted that KwaMathambo was developed in 1991 following the demise of the influx control laws used by the apartheid conventional planners, and driven by modernist principles in 1989. Furthermore, this chapter emphasised the reasons for the development and growth of the settlement, also detailing the services that are available. Although re-blocking of KwaMathambo came as a response to fire disasters, through good community participation and collaboration with supporting NGOs and the municipality, its benefits improved the settlement and the lives of the beneficiaries.

Chapter 6: Data Presentation, Analysis and Interpretation

6.1 Introduction

The purpose of this chapter is to present, analyse and interpret the data collected from primary sources which included interviews conducted with the eThekweni Municipality officials under the Department of Human Settlements, members of CORC which was one of the NGOs that acted as a support group during the re-blocking processes as well as members of the community or beneficiaries that implemented the re-blocking in their informal settlement. The study evaluated community participation in the re-blocking of informal settlements in KwaMathambo which is situated in Durban. The responses from the municipal and NGO officials were recorded using a Dictaphone and then organised, presented and analysed in this chapter. The information recorded was organised in such a way that it aided the researcher to achieve the study's objectives, by presenting the data in themes derived from the study's objectives and main and subsidiary questions. Additionally, this chapter forms a basis for the final recommendations chapter which makes suggestions on how the re-blocking processes can be improved and used in other informal settlements to ensure the sustainability of human settlements using the findings from the case of the KwaMathambo re-blocking project.

The KwaMathambo informal settlement is a good example of the result of urbanisation, population growth, housing backlog and high costs of accommodation in the Durban CBD. Hence, the KwaMathambo informal settlement is a last resort for migrants seeking cheaper forms of accommodation near the CBD and employment areas in the Springfield area. After gaining access to this informal settlement, the migrants either look for work in the city or turn to entrepreneurship. Since the settlement was established in 1992, the settlement has been subject to population growth and the increase in the number of migrants and shacks. This has resulted in KwaMathambo becoming a highly densified informal settlement.

The KwaMathambo settlement was a very dense settlement which made the area prone to fire disasters. The fire disasters in the area were a result of the shacks being clustered together without any free space. The cause of such fires is usually linked to a person who slept and left a stove on, causing a fire that spreads quickly because the shacks are close together. The reason for the lack of responsibility by these neighbours is unclear. Some suggest that this recklessness is due to the knowledge that they are not paying for electricity. Some suggest that alcohol abuse is also a factor. The other reason the KwaMathambo area was prone to fires was that the shacks were built using any materials available such as plastic, cardboard and wood. The re-occurrence

of fire disasters in KwaMathambo has resulted in initiatives such as the re-blocking of informal settlements by the community with the support of NGOs. They were later joined by the eThekweni Municipality with the provision of services.

The re-blocking process was formed by informal settlement dwellers of South Africa with the help of the SA SDI and ISN, and a lot of influence from other developing countries with similar challenges regarding informal settlements. The Upgrading Informal Settlement Programme (UISP) came about as an alternative process to the state's informal settlements intervention strategy, the Breaking New Ground (BNG) housing policy of 2004. Under this programme, municipalities are now obliged to upgrade informal settlements within their districts, provided that they meet certain requirements which the Department of Human Settlement refers to as the "responsibilities of municipalities" criteria outlined in Part 3 of the National Housing Programme: Upgrading of Informal Settlements (Department of Housing, 2004a). The study sets out to investigate the impacts using the information collected from the above-mentioned primary and secondary data sources, by evaluating the cause of any positive or negative impacts of community participation in re-blocking as well as making recommendations for improvements.

6.1.1. Data Analysis

The following represents how the themes were derived using the study's objectives as well as its main and subsidiary questions. The raw data was collected from the interviews conducted with the eThekweni Municipality officials that were involved in the KwaMathambo re-blocking project, and the household survey conducted with households who are the initiators, planners, builders and beneficiaries of the re-blocked settlement and transit camps. The data was organised, prepared and the accuracy of the information validated by the researcher in preparation for data analysis. The researcher then coded all the received data by linking each response to the associated objective and main or subsidiary question of the study that the data best answers (Creswell, 2009). From these "links", the outcome was the following themes:

- The process of the re-blocking of informal settlements.
- The different perceptions of the re-blocking process from the municipal and CORC officials and the households of KwaMathambo.
- The realities concerning community participation in the KwaMathambo re-blocking.
- The challenges of community involvement in the re-blocking process.

- The impact of the re-blocking of the informal settlement on the community and environment.
- The strategies that can be used to improve the re-blocking process and enhance community participation.

These themes were interpreted using study-related headings under which a description of the headings was presented, using the data collected from the interviews with the officials, and the household surveys as represented below.

6.2 The Process of Re-Blocking Informal Settlements

This section seeks to establish an understanding of the process of re-blocking informal settlements by different stakeholders, in this study the stakeholders were limited to officials of Department of Human Settlements (DHS), Community Organisation Resource Centre (CORC) and community members of KwaMathambo informal settlement.

6.2.1 The perspective of DHS officials on the process of re-blocking

According to the Department of Human Settlements official (from the Municipality), the reasons for the re-blocking process that took place in KwaMathambo informal settlements was an emergency response to a fire disaster that had taken place in 2016. The municipal officials added that re-blocking was to rebuild shacks that had been affected by the fire. Seeing that fire disasters were becoming regular, the community of KwaMathambo decided to improve the settlement in order to develop a resistance to fires. The community of KwaMathambo tried to achieve this by ensuring that they secure the essential services such as access roads, footpaths, electricity and sanitation. Services such as legal electricity mitigate against electricity deaths and fire disasters that are very common at the KwaMathambo informal settlement.

The municipal officials argued that the other reason for the re-blocking of KwaMathambo was that the settlement serves as holding places and/or temporary homes for habitants, as it provides access to urban surroundings. The Town and Regional Planner from the Department of Human Settlements and other municipal officials of the eThekweni Municipality admitted that re-blocking is a newly found process that they are still experimenting with as in the case of KwaMathambo where re-blocking has been done as an emergency response to a disaster. The municipal officials argued that the municipality is yet to pilot collaborative re-blocking projects with the communities in informal settlements, not responding to fire disasters but based on the need to improve livelihood through enhanced community participation.

Furthermore, the Town and Regional Planner from the Department of Human Settlements argued that the KwaMathambo community realised that the community itself should improve their housing conditions because the government has budget constraints. To fast-track the process of rebuilding the shacks that were affected and to create liveable environments, the communities or beneficiaries took the responsibility to plan for and build the housing structures that are occupied by the beneficiaries themselves. This allows for the future provision of municipal services in preparation for future housing upgrades.

When asked to describe the re-blocking process that unfolded in KwaMathambo, the municipal officials stated that the process included households deciding and designing the spatial layout of their settlements in a constructive way. The officials added that the re-blocking of KwaMathambo showed that the best solution for the challenges in the informal settlements can only come from communities. Hence, re-blocking was a community-driven or led process in which the municipality only played a supportive role during the upgrading of the settlement. The municipal official asserted that the community knew what changes were needed to improve their livelihoods. The community had knowledge of the challenges, and they planned the settlement in a way that best suited their needs.

The Town and Regional Planner from the Department of Human Settlements argued that the re-blocking of KwaMathambo was done through “sweat equity”, “stokvels” and savings by beneficiaries who are community members that were affected by the fire disaster. The savings allowed communities to buy building materials and through sweat equity, they rebuilt their shacks. The municipal officials added that a membership-based community produces more than normal community participation (those aided by the municipality) because communities have more control or ownership of the project under membership-based community participation. Savings in membership-based community participation allow the community to decide what type of building materials they can use when rebuilding their shacks instead of being offered emergency response materials in the form of transit camps like most of the shacks in KwaMathambo. The municipal officials further stated that membership-based community participation is difficult to achieve because of how highly politicised informal settlements are.

6.2.2 CORC official’s perspective on the process of re-blocking

According to the CORC officials, re-blocking is a term coined by the SDI and supporting NGOs in their quest of enhancing community participation to assist communities in improving

their living conditions in informal settlements. The use of this term has spread across South Africa to informal settlements such as KwaMathambo. The CORC officials stated that the re-blocking of the KwaMathambo informal settlement was influenced by what is happening in informal settlements around the world.

The re-blocking process of KwaMathambo was based on shared information and experiences of the re-blocking of informal settlements such as Mtshini Wam in Cape Town which the community leader also visited. The reason for this is that the KwaMathambo settlement has similarities in terms of the challenges faced by other informal settlements that have implemented re-blocking. Re-blocking is based on the sharing of experiences or information by informal settlement dwellers and involves gaining knowledge and strategies to improve their livelihoods.

When asked what lead the community of KwaMathambo to re-block their settlement, and what the community wanted to achieve, the CORC officials started by explaining that the shift of the housing policy towards the support of the upgrading of informal settlements motivated the community of KwaMathambo to re-block their settlement. One of the reasons that the community members of KwaMathambo decided to actively participate in the re-blocking was that programmes such as the UISP embrace community participation.

The CORC officials stated that the community of KwaMathambo decided to take the initiative and implemented the re-blocking with the support from NGOs, the eThekweni Municipality and the Department of Human Settlements in order to improve their living conditions by rebuilding better shacks, creating walking space and space for children and the municipality to be able to provide them with services. The CORC officials added that the re-blocking of KwaMathambo was a process where the community identified its challenges, starting with the response to the fire disaster. Their aim was to improve the shacks by using metal sheets that help mitigate against fires. More importantly, the re-blocking of KwaMathambo included the planning/designing of settlement layout and the creation of walking and playing spaces for children. It also enabled the community of KwaMathambo to use their re-blocked settlement as leverage in dealing with the municipality and requesting that they provide them with basic services such as electricity.

The officials of CORC described community participation as an important tool for addressing housing issues following the failure of government programmes to eradicate slums and provide

sustainable housing. The re-blocking of KwaMathambo was done to show the government that people can do things themselves without waiting for government assistance. While they are waiting for the RDP houses, they can re-block their settlement and clean their area in order to show the surrounding neighbours that they can rebuild their settlement. They are referred to as “skhothenis” living in the shacks, and now they can change the mind-sets of others.

Furthermore, it is also a process in which the community comes together with the funds that they themselves have collected. It shows a sense of independence, and it brings the community together where the community unites with a main goal in mind, and the community remobilises themselves with that particular goal and then works together to do the re-blocking. It is not done by anyone from outside the community but by the community themselves using the internal expertise available to them. In the KwaMathambo case, the expertise of CORC was used as professional support.

The following is a quote from one of the participants of the interview process. “I think they are trying to show the municipality or the government that instead of waiting for government projects to be planned for 20 years, we can use what we have and create a liveable space where we are comfortable.”

6.2.3 Beneficiaries’ perspective on the process of re-blocking

According to the beneficiaries of KwaMathambo, re-blocking is a process where they designed the layout and rebuilt their shacks after the settlement was affected by the fire disaster. The beneficiaries of KwaMathambo stated that while they were sleeping in a tent that was provided by the municipality as part of the emergency relief, they noticed that rebuilding their shacks alone would still leave them exposed to fire disasters which have become prevalent. Hence, as a community with the advice of CORC, they decided to re-block their settlement. The aim was use building material that was less-flammable in order to minimise the ripple effects of fire disasters and to protect themselves from the elements such as the rain and cold which were challenges that they were previously facing (refer to Figure 3).

The beneficiaries of KwaMathambo argued that the community worked with supporting the stakeholders such as the ISN, CORC and the eThekweni Department of Human Settlements to implement the re-blocking. During the re-blocking, each beneficiary was supposed to rebuild the shacks themselves with the assistance from other community members and supporting stakeholders. This was achieved by the community engaging with the municipality, supporting

NGOs and ward councillor through meetings. These meetings were held following a fire disaster that affected 44 families in KwaMathambo. As the affected members of the community without any shelter, the municipality provided them with a tent to use while waiting for the rebuilding of their shacks. The participants highlighted that this made things easy for them to discuss the way forward regarding the rebuilding of their shacks in a manner that is organised.

The beneficiaries of the KwaMathambo re-blocking asserted that they gathered and formed a committee that was responsible for ensuring that the process ran smoothly. These participants added that they got together and designed the layout of their settlement with the supporting stakeholders, and having agreed on the size of shacks, there was space for pathways. Furthermore, the beneficiaries stated that when they had a plan, they got together and decided how much was going to be needed from each beneficiary for purchasing the building materials. When the amount was agreed upon, the beneficiaries held a meeting with the municipality and councillor to do the quotations. When the materials were delivered to the tent, the onus rested on the beneficiaries to rebuild their shacks following the pegs of their layout plan. Using corrugated iron, the beneficiaries rebuilt their shacks, and when the rebuilding was done, the community waited for the municipality to connect the electricity in the area.

6.3 The Role of Community and Challenges in the Re-Blocking Process

The findings of the research revealed that there were different types of community participation in the re-blocking of KwaMathambo. According to the findings from KwaMathambo, re-blocking was a response to fire incidents. The first fire incident took place in 2013 and the second occurred in 2016. The 15 respondents that resided in the area where the first fire destroyed 258 shacks stated that as a response to the disaster, the municipality rebuilt 229 structures in the form of a transit camp. The 15 respondents from the side that was affected by the fire in 2016 whereby 37 structures had to be rebuilt stated that it was discovered that in order to stop fire re-occurrences in KwaMathambo, re-blocking was imperative.

Figure 3: Role Played by the Beneficiaries in Re-Blocking



Source: (SDI, 2012)

To highlight the difference in community participation, the CORC official made an example where she emphasised that the first re-blocking was normal community participation and the second re-blocking was membership-based community participation. Furthermore, she highlighted the issue of the contributions made by the community in both scenarios following the first disaster where the community only contributed through the decision-making processes concerning their needs. Whilst during the second disaster, through community participation, they rebuilt the shacks themselves by contributing to community savings and receiving emergency funding from CORC and support from the municipality. The difference in these types of community participation was that the group affected by the second disaster contributed towards “sweat equity” and the buying of choice building materials whilst the first group was simply supplied with shelters that were built by the municipality.

Moreover, the CORC official made an example of the difference between the KwaMathambo and Quarry Road re-blocking processes. She stated that in KwaMathambo, during the second fire, it was a community process where the community contributed toward funding, in that re-blocking process and the community came up with the design and layout of their settlement. Whereas in Quarry Road, the municipality provided the material and there was no contribution from the community in terms of funding. The only part the community played was to design the layout and use the materials that were provided by the municipality. These findings of the different forms of community participation resembled the empirical findings of Piesang River found by Huchzermeyer (2004).

It can be argued that some re-blocking processes are initiated by a community that is part of the SDI by going through the necessary formalities, and some, where there is a disaster, the municipality simply comes forward with the building materials. However, the re-blocking processes of KwaMathambo are different from the ones where the community sits and decides. A community that is tired of living in an environment that is highly dense, dirty and where the municipality cannot provide services because of the layout of the settlement, sits down and contributes toward the funding for the building materials, prepares the layout, and becomes an active part of the project from the planning to its completion.

Figure 4: KwaMathambo Before Reblocking



Source: SDI (2012)

The residents of KwaMathambo stated that the motive was the result of an interest that the community had in wanting to redo or redesign the layout of their structures which is done in such a way that it allows for disaster mitigation and the provision of services. Although, it is stated that re-blocking was not the primary impetus in KwaMathambo but a response to the disasters caused by fires. The CORC officials added that the main concern that drove the re-

blocking was a concern for safety following the disaster because the households had no shelter, thus fearing the potential loss of their belongings. The fires in the congested communities were caused by a shack catching alight and burning a large number of shacks, sometimes more than 200, and that eventually had fatal consequences where people would die. Furthermore, with regards to safety, because there was congestion, it was easy for internal attacks on shacks. Some even break into the neighbouring formal residences.

Figure 5: KwaMathambo After Fire Disaster



Source: (SDI, 2012)

The residents of KwaMathambo argued that the re-blocking was important because when they built their shacks, vital precautions were ignored, so things such as the measurements of plot sizes and spaces for pathways and access were not considered. Hence, they built the settlement haphazardly and densely. The residents of KwaMathambo saw that their settlement was very dense and hazardous because when a disaster occurred, they were unable to stop it. The housing policy concerning the eviction of informal settlements has shifted, and there was assistance from the municipality. Some residents thought that for them to avoid disasters and for them to allow municipal services to come through, the re-blocking of the settlement was needed.

When asked about the challenges that were encountered during the re-blocking process, the municipal officials stated that one of the challenges that they faced was that KwaMathambo

informal settlement is located on steep land. The gradient of the area is not conducive for the delivery of services, and to get the slope even for shack plots, there was a need for a cut-and-fill process. The official said that in general, when they initiate a project in areas such as KwaMathambo, they get resistance from environmentalists, and their environmental office warns them of hazards such as landslides and flooding. He said that while this is true, they need to ask themselves which is more important - human life or the environment?

Of course, environmentalists will argue that they need to protect the environment in order to ensure that future generations have the opportunity to live comfortably but the official says that they are not the ones who are always responding to fires or cases where a child has been electrocuted by illegal electricity connections. These are common challenges in KwaMathambo. The community participants stated that another challenge that they were faced with was the use of a grader during rainy days, as it could not move. During rainy days no work was done, and this resulted in delays which pushed the completion time back. The delays had a negative impact on the projects because some community members tried to steal materials hence additional costs were incurred.

The liaison officer of the Department of Human Settlements said that the challenge goes back to community participation. The liaison officer stated that even though the community is informed, this challenge is the result of the mentality of a person living in informal settlements. He by no means wants to criticise them. He then gave a scenario of similar a project in Forman Road where the municipality would supply materials to the community and say that they have cleared the space for 50 people to rebuild their shacks. In this case, municipal officials would go on site to check the progress only to find that community members have not done anything because they are intoxicated.

The municipal official added that there was the problem of the community members in informal settlements such KwaMathambo not prioritising the needs of the community as a whole. He argued that sometimes it is selfishness when the community members know that not doing something affects the next person. For instance, information is communicated through the ward committee. After supplying the material, the municipality would request that the first 20 people rebuild in this manner. The community members are given a timeframe in which they need to have rebuilt a certain number of shacks so that the processes can run smoothly, and the municipality is able to deal with other members of the community but what is found is that the community does not prioritise the process.

When the officials would do a site-check, they would find that the community members were drunk. The following is a quote from one of the officials interviewed. “We had planned everything and had a meeting with the community to inform them that on that specific weekend we were coming to verify information and do an application for electricity. According to the statistics I had, 200 people who were supplied with materials and when we got on site a mere 80 people had rebuilt their shacks. When asked what the problem was, the community said that they were working during the week and one could see that they were senseless drunk on the weekends.”

Both municipal officials argued that it is also the mentality of the people because you find that people complain that the municipality did not give them attention. The municipality can only do so much, and the community must do the rest. This is the greatest challenge. The CORC official also concurred with the official of the Department of Human Settlements that the re-blocking was supposed to be done by the community members of KwaMathambo themselves, but some community members could not work because they were employed somewhere else and were not present. Other members were under the influence of alcohol, so they could not work and just sat there. It delayed the project to a point where other community members started stealing the building materials.

Based on the findings from the households of KwaMathambo that were part of the membership-based community participation, other challenges included raising sufficient funds for the project were experienced. This meant that an emergency loan from the CORC organisation had to be used because not everybody was willing to pay. This further created a problem, as some are still resisting the repayment of those funds. A lack of unity and cooperation was also a challenge in the case of KwaMathambo whereby the majority of the community members were agreeing on a certain process, and only a few were not.

The challenges mentioned above are related and are regarded as political issues. The stakeholders interviewed agreed that politics interfered with the re-blocking process of KwaMathambo, as there is more than one centre of power in the area and there is a conflict of who must oversee the project. Others opposed the membership-based community initiative because they would be required to pay or contribute towards saving for the project, and this was because most believed that the government was responsible for their housing and service delivery needs.

There was the challenge of formal residences around the KwaMathambo settlement. The neighbours were not happy with the earthworks on site. The land that the community of KwaMathambo resides on still belongs to private owners. It was important to engage with the residents to explain why the process was done. It is not an invasion of the land. The residents of KwaMathambo simply wanted to redesign the settlement, so it is built in such a manner that is liveable. Another challenge is that the municipality and councillors did not want to be involved. It becomes a challenge in a case where it is the community's idea to re-block their settlement. The municipality and councillors see this initiative as allowing the permanent invasion of the land, and settlement extension. According to the participants, the municipality and councillors are usually against re-blocking, their argument being that they cannot be part of an informal land invasion. In KwaMathambo, the eThekweni municipality land invasion department also thought that the people were continuing with invading of the land and that they were extending the settlement.

In the KwaMathambo settlement, there was no conflict between the residents and the municipality. This was identified by looking at the case of Quarry Road. The challenge was that the municipality wanted to dictate the process of rebuilding as a material provider. They told the community that they are not going to wait for the community to plot the site, create the spaces and design the layout, as when the truck comes, the beneficiaries are going to be called by name and each and every beneficiary must take their material and build. The community refused the hasty intervention from the municipality and said that they are the victims of the fire and as soon as the municipality delivers the material, it is then theirs, and it is up to them as to how and when they use the material.

The following is a quote from a participant of the interview process. "Since there is a tent that we live in then the trucks can deliver, and you can call the beneficiaries, delivering the material but we are storing that material in the tent until we finish the layout design and plotting of the site, and then we are going to build according to the design that we have."

So, the city official said that he is not going to have time to wait for that and that he is going to remove the tent. The community resident then said that he might as well remove the tent, as they do not care because they are going to put security measures in place to guard the material because they know what they want to do with the material, and they want to use it the way that they want to use it.

6.4. Solution to Solve the Challenges

To resolve the challenge of cooperation during the re-blocking process in KwaMathambo, the CORC official said that meetings were held, and the benefits of the re-blocking process were discussed. From the beginning, it was made clear that the process belonged to the community, they are the ones who need to decide about cooperation. It is up to them to engage with the ones that are not cooperating as a community and find solutions of how they are going to deal with that as a community. In doing so, the engagement will give them options. For example, a household refuse to be part project if placed in a certain area of the plot that they did not like or want to rebuild the shack using burnt materials.

To resolve the issue, the community came together and decided that they were going to continue with re-blocking their settlement, regardless of those opposing the idea of the re-blocking. To ensure that the re-blocking plan that the community has designed was not affected by the shacks of households that were rejecting the re-blocking, the community provided alternative options such as using a different piece of land or re-blocking design which would go around the household's shack that is rebuilt using the same old materials. Quarry Road is a good example where a resident that was in the centre of the layout did not want the tractor to level the ground around the site that he/she occupied before the rebuilding process. He/she simply used the burnt material to rebuild on the very same spot. Therefore, what happened was that the land surrounding this shack was levelled, only the shack of the resident that refused was on a steep hill. This resident came to his senses when he saw that he was left out and the people around him had used new material to build beautiful sites. The rest of the settlement was levelled, and there was reservation for passages. The household ended up removing the old material himself and pleaded with the community to become a part of the process. The community participants said that the absence of employed beneficiaries from the rebuilding of their shacks was resolved by these employed community members returning and working on the project. In other cases, these beneficiaries employed someone from the community to work on their behalves and paid them in the form of money and/or food parcels.

There were challenges with the repayment of funds for the contributions of membership-based community participation. The community members belonging to this group and CORC officials stated that in instances where someone that the community knows is the poorest of them all, savings will be used to assist them. The community decides which households it is going to contribute to. The CORC officials also added that they allowed the community to resolve the challenges of the repayment of loans/funds taken by community members to rebuild

their shacks. The community leaders asserted that there are processes of following up. There are people who encourage savings and report to the community supporting NGO.

In terms of collaboration, the participant stated that the municipality was saying that it is not part of the re-blocking process and it was there only for emergency assistance. They only come in, receive the name of the person whose shack burnt down, and they give that person the materials needed and nothing else, as they are not involved in anything else.

There were engagements between the community leaders involved and the councillor who engaged with the formal residents and the eThekweni Municipality land invasion department to explain the re-blocking. They were shown that the re-blocking was not an extension of the settlement by people invading the land. All the external stakeholders were shown the layout, and it was explained that these were the structures that were originally here by using the enumeration information which was done before. The community was then able to explain that the settlement had originally had these many shacks and this process is now the rebuilding of the burnt areas.

6.5. The Impact of Re-Blocking Informal Settlements on the Community

Re-blocking had a positive impact on the community of KwaMathambo. According to the findings, the beneficiaries of re-blocking stated that the process improved the living conditions in their settlement. They mentioned that before re-blocking, the settlement was too steep, dense and without pathways. This made walking in and out of the settlement difficult, especially when it was raining. This is because re-blocking has resulted in a properly ordered settlement with spaces dedicated to pathways. The participants added that the children used to play and walk on the footpaths with illegal electricity connections, but after the re-blocking, the children had a small play area. Other open spaces included a place for washing lines for the drying of clothes.

The participants further stated that the re-blocking helped to improve their housing conditions, as the structures were improved with materials such as zinc which allowed for the control of fires. One of the participants stated that shacks flooded because of where they are located. He added that they were satisfied with the top structure of their shacks. The community recognised this and noted that the area where these beneficiaries were located was on a floodplain, and during the re-blocking, they requested assistance from the municipality.

Figure 6: KwaMathambo after Re-Blocking



Source: (Loggia, 2017)

The community leader added that residents and formal property neighbours said that they felt safe now that the fires could be controlled if a disaster should strike. These residents know that they are not going to be affected when there is something that happens to the informal settlement that is close to them. Overall, the participants and the community leader emphasised that the relationship between the formal and informal residents has improved. They said that their neighbours feel safe that they will not have many attacks now because people will know where the attacker came from. When the informal residents of KwaMathambo or people from areas in close by used to break into their homes and run into the shacks, they could not tell where the burglar went, but now they can say that he went to B1 and that they know him. After the re-blocking, waste collection was made possible for the households of KwaMathambo. This has pleased formal residents with the level of cleanliness because the dirt and smell previously coming from the cramped settlement, also affected them.

Furthermore, the beneficiaries stated that the installation of electricity following the re-blocking was an improvement since the previous illegal connections were very hazardous, with

many incidents of electricity being reported (refer to Figure 5). The provision of electricity also meant that formal residents became relieved because if there is an informal settlement that is tapping in through illegal electricity connection, formal residents are the ones who are paying. Power failures as a result of illegal connections, and the disconnections sometimes meant that the residents spent days without light because the municipality had cut the power supply. The households from the informal settlements would say that if they do not have light, the households in the formal settlements will also not have lights. Re-blocking allows for the engagement amongst the formal and informal residents, thus creating social cohesion.

6.6 Synthesis of Research Findings

The findings on community participation in the re-blocking of informal settlements in KwaMathambo included elements that make the re-blocking process successful. Community participation by KwaMathambo helped to shape the process. Although there was support given by the eThekweni Municipality, CORC and aligned NGOs, the re-blocking was to be at the discretion of the households themselves. Project ownership by beneficiaries is said to have a positive impact that is coupled with the empowered. The results of re-blocking were pleasing to the beneficiaries, so their involvement in the planning and implementation of the project led to successful re-blocking. The beneficiaries argued that their involvement ensured that the planning of the process catered for their needs, following the engagement with various supporting stakeholders that were involved. Re-blocking was a response to disasters, and their participation gave them an opportunity to negotiate for the re-blocking of the settlement and the provision of services by the municipality.

The findings revealed that community participation in the re-blocking differed in terms of contribution, as other residents were aided by the municipality whilst others belonged to the community-based membership. However, in terms of planning and implementation which includes the design, layout, planning, subdivision of plots and rebuilding of the shacks, was undertaken by the community themselves with some support offered by the other stakeholders. Findings revealed that community participation contributed to the success of the re-blocking because of the excessive knowledge of the settlement, priority needs and the strategies that these needs would be achieved with the resources that were available such as capital, plant materials and human capital.

The findings also revealed that through participation, the community strength, trust and cohesion was enhanced. This enabled the community to reach an understanding and agreement

concerning issues such as cooperation, contribution towards savings, and the sharing of personal details with regards to the ownership of the site during the enumeration that was carried out by the community. Social cohesion defeated political constraints that were faced during the re-blocking of KwaMathambo.

To some extent, the findings link community participation in the re-blocking process to housing programmes that are currently used by the municipality and that are recognised by the national government of South Africa. These include previous slum eradication and relocation programmes such as the RDP which had defects, and upgrading which supports community participation but according to the findings, these programmes are not well implemented in their communities. It was argued that the government and municipalities need to be supportive of the re-blocking processes in order to enhance community participation, and informal settlements with improved living conditions. Essentially, shortcomings in previous programmes mentioned above appear to have contributed to the need for community involvement in programmes for the improvement of community livelihoods. Households in KwaMathambo made improvements on their informal settlement to be able to prevent the re-occurrence of fire disasters. As a result, the households redesigned to de-densify the settlement by providing spaces and pathways in between informal settlements. The use of materials such as corrugated iron allowed for fires to be stopped before the whole settlement burnt.

As much as the re-blocking of KwaMathambo can clearly be defined as an emergency service, membership-based community participation allows it to be interpreted as the upgrading of a community through a self-help housing process. Re-blocking allows for the objective of receiving basic services from the municipality such as electricity and ablution blocks as in the case of the community of KwaMathambo. The findings also showed that households that were not interested in becoming part of the re-blocking process ended up joining because they saw that the benefits of the re-blocking were desirable. The overall improvement of the informal settlement through re-blocking is simply a better option than relocating to the periphery of the city because the location of KwaMathambo is very significant to the residents' livelihoods.

The findings further revealed that even employed residents came back and contributed to the rebuilding of their shacks or asked a member of the community to be present on their behalf for an agreed amount. The empirical enquiry also revealed that community participation contributed to the success of the re-blocking in KwaMathambo by creating a good relationship with formal neighbours through engagement. Findings expressed that formal neighbours

supported the enablement of community participation in the re-blocking because the negative impacts on the informal settlement also affected them. This includes illegal “tapping in” on electricity, high densities, the arrangement of shacks, the building materials used by informal dwellers and environmental pollution. Through engagements with all the stakeholders, the beneficiaries were able to explain the details of the re-blocking to the external stakeholders, including the Department of Land Invasion.

The engagements were used by community representatives to explain how re-blocking the extension of the settlement would turn the settlement into an organised environment that can be monitored and provided with services. The lack of interest by the municipality in the re-blocking of KwaMathambo highlighted the complexity of the informal upgrading process. Furthermore, it presented a lack of understanding of the re-blocking process because the municipality of eThekweni has not launched a re-blocking project and has only responded to an emergency. These are just some of the experiences that they have had with re-blocking. The other problems were related to the location of the informal settlements in Durban which is against the rules of the eThekweni Municipality’s Environmental Planning and Climate Protection Department.

Regardless of a lack of direct involvement by the municipality, the commitment displayed by the residents of KwaMathambo in improving their settlement indicated community empowerment through participation. However, financial resources presented a challenge, as most of the beneficiaries of community-based participation could not repay the loans from their supporting NGOs. The negotiations to resolve this challenge also displayed long-term empowerment and commitment, as the community is still encouraged to contribute in savings for the repayment of loans and savings for future endeavours.

The findings also revealed that informal settlements are highly political areas, but the achievement of full community participation is possible through abundant, unbiased and transparent engagement with stakeholders, especially those who have power. The community liaison of the Department of Human Settlements emphasised that there are those community members who are involved throughout the entire plan or project. For example, the councillor and ward committee where there would be people allocated portfolios such as a housing portfolio or water and sanitation portfolio.

The following is a quote from a participant of the interview process. “Those people are the people that you hold dear to you because they are at the beginning and end of the project with

you. When there are issues with the project, we solve them together. It is quite crucial to involve the community in the planning phase because that is where you get things right or wrong.”

Overall, the success of re-blocking processes can be attributed to community participation beginning from the initial to roll out phase, and the hand-over of the final product to the beneficiaries which is the community itself. Thus, undesirable results or shortcomings that have a negative impact on the process are accepted, and further solutions are devised by the community to address the issue. Although the housing materials and settlement improves to the level of sustainability that is suitable to the community, not all community members are happy about re-blocking because some members are waiting for formal housing from the government.

6.7 Conclusion

Based on the findings of the empirical enquiry, community participation should be contributed to the success of the re-blocking process. Community participation is enhanced in re-blocking processes. The outcomes, if not desirable, are accepted by the beneficiaries as planners and implementers of the process. Full community participation can be achieved in the re-blocking processes. The different types of community participation were performed in KwaMathambo. Membership-based community participation compared more favourably than normal community participation in terms of empowerment. In the next chapter, recommendations are made regarding the ways to improve the community participation in the re-blocking of informal settlements.

Chapter 7: Summary of Findings, Recommendations and Conclusion

7.1 Introduction

This study evaluated community participation in the re-blocking of informal settlements in KwaMathambo as a case study. Literature was analysed to determine whether community participation has led to the success of the re-blocking processes. Furthermore, the role played by the community in a re-blocking process was also established in this study. Empirical enquiry allowed for the exploration of whether the involvement of the community in the planning and implementation of the re-blocking process contributed to its success.

The study also explored whether there is a shift in policy from full government intervention in HWP programmes such as the RDP and BNG in-situ upgrading programmes that support the enhancement of community participation. The empirical enquiry also explored the benefits and challenges of community participation in re-blocking. This chapter makes recommendations based on literature and empirical findings to enhance community participation in the re-blocking of informal settlements, and further draws conclusions based on the objectives set out by the study (elaborated in Chapter One).

7.2 Summary of Findings

This study sought to unearth the role played by the community in the re-blocking of informal settlements with the aim of evaluating community participation. This was accomplished by reviewing literature regarding re-blocking as an alternative to previous upgrading programmes that lacked community participation. The emphasis was on how intensified community participation ensured the success of the re-blocking process in KwaMathambo. It was discovered that the notion of community participation has always been advocated for informal settlement upgrading and development programmes, and duly implemented. Furthermore, it was discovered that the limitation of community participation in upgrading resulted in the failure of programmes and undesirable informal settlements that are highly hazardous.

The study also found that the re-blocking of informal settlements is attributed to the enhancement of community participation, and collaboration with various stakeholders. Concerning collaboration, the study found that there is still room for improvement in the relationship between the community and municipality. Hence, it was recommended that the

municipality should be more involved in the re-blocking through the creation of policies that will support such projects and encourage community participation.

It was established from the responses from households and the observations made on site that the community preferred participating in the re-blocking of their settlement. Beneficiaries indicated that they preferred shacks built using corrugated iron than the transit camp types offered by the municipality. Furthermore, the beneficiaries were proud of their achievement in the re-blocking of KwaMathambo. However, some beneficiaries were not happy with contributing towards the improvement of their settlement, as they felt that it was the government's role by virtue of their disadvantaged state and poverty. It is concluded that community participation in the re-blocking can result in positive results such as improved shacks and environment and minimised conflict with the municipality.

7.3 Conclusion

The study can conclude that community participation, if well implemented, can lead to the success of the implementation of any project which is earmarked for the development of a particular community. This is based on the findings of the study which clearly indicate that community members were actively involved in the planning and re-blocking of the informal settlement at KwaMathambo. This is affirmed by the literature which emphasises the importance of community participation. The previous chapters have assessed the background and extent of community participation and re-blocking as a solution to informal settlement challenges. This chapter summarises the analysis results and determines the impact of community participation in re-blocking.

Furthermore, recommendations were made based on the re-blocking of KwaMathambo. Based on the chapter of the research findings, one can conclude that community participation in re-blocking had a positive impact, especially on the improvement of living conditions of KwaMathambo as far as rebuilt shacks, space created and the provision of municipal services were concerned. It was established that the KwaMathambo re-blocking was a membership-based community participation because it was an emergency response following the 2013 fire disaster hence the municipality rebuilt the shacks of those affected with them only having limited participation on the project. As a result, the community members that were affected by the fire disaster of 2016 overcame a lot of challenges, and their persistence led to the successful implementation of the re-blocking project.

In terms of decision-making regarding the planning and designing of the layout, community members enthusiastically implemented the phases involved in the re-blocking process including the enumeration, financial resources needed and plot and shack sizes. Some even learned skills and are now assisting other informal dwellers interested in the re-blocking of their settlements. In terms of the quality of the living environment and rebuilt shacks in KwaMathambo, the beneficiaries interviewed stated that they were satisfied with the improvements that they made. The budget constraints were also highlighted, as some of the affected community members were unemployed, and some lost everything when the fire broke out. The beneficiaries were also happy that after the re-blocking, they managed to get the municipality to provide them with services such as legal electricity, waste collection and ablution blocks.

In terms of collaboration, the community managed to work well with the municipality and supporting NGOs such as CORC. The good relationship all extended to that of community members of KwaMathambo and formal neighbours because the settlement was a lot cleaner. The space in between the shacks made the neighbours feel safer, as they are now able to identify shacks with numbers and blocks. The community members also feel safer, as the municipality provided legal electricity which led to the minimised use of illegal electricity. This also resulted in less strain on formal neighbours' electricity, as illegal connections were often drawn from the formal neighbours' supply.

Although some community members are waiting for conventional housing, most of the community members were against being relocated from KwaMathambo. Their hope is that their settlement will get upgraded on the land that it is currently located on because of its significance to their survival. To summarise, community participation in the re-blocking is significant considering that the community has the opportunity to plan and design the spatial structure of their settlement, and improve their shacks. The knowledge raised by the community helped to address priority challenges.

7.4. Recommendations

7.4.1. Recommendation on use of re-blocking as a program for informal settlement upgrading

The recommendation is for the use of re-blocking as a programme for informal settlement upgrading. It was identified in the study that community participation made the re-blocking of KwaMathambo successful. However, the participants that were involved in the re-blocking of

KwaMathambo raised many issues that should be taken into consideration or as recommendations to improve the re-blocking projects and enhance community participation. The recommendations put forward by the beneficiaries, municipal officials, non-government officials and the government authorities on how the current housing policy can be improved to be more responsive to poverty reduction should also be implemented.

The respondents recommended that similar projects must be undertaken for the purpose of ensuring satisfactory community participation in the upgrading informal settlements. Correspondingly, Payne (2016) argue that “community members believe that the successful partial re-blocking of KwaMathambo the first settlement to be re-blocked in KwaZulu Natal can serve as a precedent to inspire future projects in the eThekweni Municipality and elsewhere”. Hence, re-blocking should be considered in upgrading of informal settlements, especially where location is favourable to the lives of inhabitants, and where relocation can be considered as last option (Payne, 2016). Furthermore, other, recommendations include updating and proper implementation of policy objectives.

7.4.2. The recommendations on the proper implementation of policy objectives

The recommendations on the proper implementation of policy objectives placed emphasis on the understanding of local authorities regarding the implementation of the policy objectives about community participation in the upgrading of informal settlements. The housing policy objectives aimed at ensuring community participation in the upgrading and development of informal settlements are explicitly outlined in the BNG housing policy (Department of Housing, 2004a). However, these policy objectives are misinterpreted in project implementation, as exemplified by the data from the interview with the eThekweni municipal officials, CORC representatives, and beneficiaries. The leader of the community of KwaMathambo emphasised that the informal settlement upgrading programme is the programme of the government, but that the local municipality does not implement it. It was reported that “they do not want to do it, but they always speak about the informal settlement upgrading”. Correspondingly, Innes and Booher (2004) argue that community participation can be antagonising and discouraging for participants who feel that they are unheard and pitted against each other, and for public officials who feel unable to take public views on board. It is therefore essential to have open-minded authorities that are prepared to listen, and engage with and respond to local needs and proposals. Above all, the policy aims to maintain fragile community networks, minimise disruptions and enhance community participation (Del Mistro & Hensher, 2009).

The municipal officials argued that there is a need to be willing in terms of the municipality through increasing the capacity of employees or officials who are going to be dealing with community participation. The following is a quote from a participant of the interview process. “If you look at the city through the metro area, you might think that we are well capacitated, but we are not. For example, there are maybe three or four officials who are actively involved in community participation. Looking at those 7 officials and taking into consideration that we have the highest number of informal settlements in the country, our metro boundaries are huge”. Similarly, Dewar (1999) argue that the strengthening of human resources and capacities is central to the task of social integration and improving the quality of life for all the people to the greatest degree possible. It also involves creating a sense of willingness to collectively tackle the development challenge and break down the prevailing culture of entitlement.

Staff capacity must be sufficient in order to ensure that the municipality does things differently and that staff is visible on the ground to enhance community participation in the development process. It must be noted that community participation is not an overnight process. It is a tedious process, and it involves engagement and negotiations and is an on-going process. To prevent the misinterpretation of its objectives, the policy should be clear about what it regards as community participation and re-blocking as an alternative to upgrading informal settlements. Thereafter, the policy should state how it envisions re-blocking. This would for example to address the issues of shack sizing and the site.

An official of the Department of Human Settlements asserted that it is good that the municipality is listening to the people’s needs, and is responding to their concerns. In the case of re-blocking, the people on the ground are telling the municipality what their needs are such as electricity, and the municipality is explaining how they can work together to re-block the highly densified settlement. He added that planning should adopt a bottom-up approach because the previously implemented projects in this country followed a top-down approach that led to the failure of projects. Previous housing programmes took a long time to address the housing backlog and have yet to eradicate the informal settlements because of challenges such as lack of finance.

CORC officials argued that it is evident that the government cannot provide proper housing for everyone. If the government implements re-blocking processes, these can make a positive impact, whereas other methods to eradicate slums have been a failure. The upgrading and re-blocking of informal settlements appears to be the best option for the government to provide

for the poor because the RDP housing system cannot eradicate slums. The relocation of people does not work because people keep going back to informal settlements. The CORC officials added that the re-blocking processes should be done nationally where there are informal settlements because the government is not improving a person's life if a person waits in a shack for 20 years only then to be provided with water and a toilet. Projects can also address the lack of implementation of an existing policy. For instance, re-blocking projects which have been implemented in South Africa, and are showing possible avenues to implement the government's informal settlements upgrading strategy.

7.4.3. Recommendation on improving building materials, infrastructure

This is regarding the improvement of building materials and infrastructure in the re-blocking projects. At the end of the day the, community of KwaMathambo "would like the government integrate them into the neighbouring formal area by constructing in-situ houses" (Payne, 2016). Hence, it was recommended that the design of the shacks should have consideration for the households' survival strategies. For example, the use of building material that maintain room temperatures during cold winters and hot summers without the need to use electricity or wood for a fire in order to heat or cool the room. Therefore, not putting pressure on the household electricity bill resulting in residents going back to using illegal electricity and wood which jeopardise their safety.

The re-blocking of KwaMathambo resulted in the provision of legal electricity, ablution blocks, road types (including pedestrian pathways), well-channelled storm water drainage systems and waste management systems to reduce health hazards. Nevertheless, there is still a gap for youth development infrastructure such as a mobile library to ensure that the children and youth have spaces that they can utilise for their amusement with aim of reducing criminalisation and the drug use. Although each partner may be contributing the same in different forms, the municipality feels that they are contributing more in terms of land and money. This was confirmed by a large number of respondents who indicated that the municipality usually wants to apply its usual conventional ways of settlement intervention. The role of resources in influencing the balance of power and institutional relations is crucial, especially since the community has very weak savings schemes.

7.4.4. Recommendations on enhancement of collaboration

In terms of the enhancement of the collaboration between the municipality, supporting organisations and beneficiaries, a collaborative arrangement was recommended. This arrangement will allow for the best inclusive transformation of informal settlements. It is when

institutional arrangements enable the active participation of all partners in the production and delivery processes of public services. In this context, appropriate institutional arrangements are critical in order to create a framework that accommodates government officials, politicians, NGOs and community residents (Mitlin, 2008; Parks, et al., 1981; Marschall, 2004). This implies that such partnerships should be based on an arrangement that is agreed upon between the parties and maintained through on-going social relations and pre-defined partner responsibilities (Mitlin, 2008).

Re-blocking of KwaMathambo offered an opportunity for collaboration between the various stakeholders to work together to ensure that beneficiaries receive the services that they need and a secured housing structure. Most importantly, re-blocking showed the communities capability to design and implement the project. Similarly, the partnership between the South African SDI alliance and the Stellenbosch Municipality for the upgrading of Langrug provides a typical case of collaboration in informal settlement upgrading initiatives (SDI, 2012; Mitlin, 2008; Yin, 2003). The initiative involved participatory funding and an implementation mechanism that considers the community as resourceful co-producers of civic goods and services. To date, the community, municipality, SDI and CORC have intensified their collaboration, and the settlement continues to witness steady improvement.

There must be a willingness to participate and support from all the stakeholders to enhance community participation and strengthen the partnership between the communities, NGOs and eThekweni Municipality. Thus, the act of incorporating communities, particularly previously marginalised or disadvantaged groups, expands the scope and depth of citizenship, and allows for sustainable decision-making, expanding the depth and means of service delivery (Heller, 2001).

The state and supporting groups of informal settlers need to establish a definitive or descriptive category that identifies informal settlements for upgrading. This is where the policies and programmes that support community participation and re-blocking can be developed. Through pilot projects, clear and concise objectives such as those present in a Memorandum of Understanding between said parties should be developed and monitored through performance feedback and information disclosure in order to ensure that all parties commit to enabling community participation and the successful re-blocking of informal settlements.

The input of NGOs in enhancing community participation in projects such as re-blocking is advocated to ensure that there is increased community participation in re-blocking processes and that the benefits are desirable to the beneficiaries. Traditional forms of political representation should be re-examined, and direct democratic mechanisms should increasingly be drawn upon to allow citizens to play a more active role in decisions which affect their lives (Burde, 2004; Williams, 2006). After project completion both the state and NGOs also need to be involved in the community empowerment programmes that ensure long-term participation by the community such as urban agriculture, recycling and various other ideas that address the issues of poverty, illiteracy and unemployment.

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Appendix 1: Informed Consent Form



COLLEGE OF HUMANITIES: MASTERS/PHD RESEARCH INFORMED CONSENT FORM

TO BE SIGNED BY THE PARTICIPANT AT THE START OF EACH INTERVIEW

One copy of the form to be left with the participant, and one copy to be signed by the participant and kept by the researcher.

My name is Sifiso Nhlakanipho Zikalala (Student Number: 211527195). I am currently doing research on a project entitled: **A Critical Evaluation of Community Participation in the Planning and Re-Blocking of Informal Settlements. The case of Kwa-Mathambo, Durban.**

This project is currently being supervised by Mr. V. Myeni from the School of Built Environment and Developments Studies, Discipline of Housing.

- **Student Contact Details:** Sifiso Zikalala, School of the Built Environment and Development Studies, University of KwaZulu-Natal, Durban. **Cell:** 082 751 0709. **Email:** 211527195@stu.ukzn.ac.za
- **Supervisor/s Contact Details:** Mr. Vincent Myeni. **Tel:** 031 260 2128. **Email:** myeniv@ukzn.ac.za
- **HSSREC Contact Details:** Mr. Prem Mohun, HSSREC Research Office, University of KwaZulu-Natal, Durban.
- **Tel:** 031 260 4557. **Email:** mohunp@ukzn.ac.za

Firstly, I would like to thank you for agreeing to take part in the project, and I would like to emphasise that:

- your participation is entirely voluntary, and you are free to withdraw at any time without any negative consequences.
- your participation in the research is limited to this interview only, and there are no other expectations of you.
- you may be contacted for any possible follow-up queries, or to verify any interview transcripts.
- you are free to refuse to answer any question, or refuse to discuss a topic without judgment or prejudice.
- you will be given access to all interview notes for verification, and all findings will be made available to you.

Please note:

- The interview will be kept strictly confidential and will be available only to members of the research team. However, excerpts from the interview may be made part of the final research report.
- To facilitate the interviewer's job, the interview will be audio recorded. However, the recording will be destroyed as soon as it has been transcribed.
- All the interview data will be handled in such a way to protect the confidentiality of any participants involved. No names will be mentioned or included in the research transcripts, analysis or coding.
- All data will be destroyed at the end of the project.

Do you give your consent for the following? Please tick and initial the options below:

To have your role within the organisation mentioned in the research	
To have this interview audio-recorded	
To be contacted for any possible follow-up queries	

I (full name)
hereby declare that I have read this Informed Consent Form, and both understand and agree
with the parameters of the research interview.

Participant:

Name of Participant Signature Date

Researcher:

Name of Researcher Signature Date

Appendix 2: Questionnaire

To the officials of NGOs (uTshani Fund and CORC)

Questionnaire

Name:

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Organisation:

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Please tick the correct box below:

Gender	
Male	
Female	

Age (Years)	
<18	
18-30	

30-40	
40-60	
60<	

Mother Tongue	
English	
isiZulu	
isiXhosa	
Other (Specify)	

Employment		
Employment Contract	Permanent	
	Temporary	

Section 1: This is about your work experience in the informal settlements upgrading process, particularly in re-blocking.

1. What are the reasons for the re-blocking of informal settlements?

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2. In your own words, how do you describe re-blocking?

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3. Have you been a part of any informal settlement re-blocking project? Please explain.

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4. What phases do re-blocking projects have?

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5. At what phase or phases have been involved in with regards to re-blocking projects?

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Section 2: This is about your knowledge of community participation in the informal settlement re-blocking.

1. Drawing from your experience in re-blocking projects, how is the community involved?

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2. At what phase or phases is/are the community involved?

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3. What are the factors that make community participation important in re-blocking projects?

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4. What are the measures, legislations or policies that are in place to ensure the involvement of the community in re-blocking projects?

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5. Do you think that full community participation can be achieved in re-blocking projects?
Why?

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6. Do you think that the full engagement of the community in any kind of development is essential to ensure the success of the plan and project?

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Section 3: This is about the challenges that are experienced during the informal settlement re-blocking.

1. What were the challenges that you experienced with the re-blocking projects in Kwa-Mathambo?

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2. How were these challenges dealt with?

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Section 4: This is about the impacts of re-blocking on the informal settlement and the livelihood of the community and its surroundings.

1. What are the impacts of the re-blocking on informal settlements?

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2. Do you think that the re-blocking of informal settlements has a positive or negative impact on the livelihood of the community?

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3. What impact do you think the re-blocking of the informal settlements has on the surrounding areas?

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4. Is there room for improvement with regards to informal settlement re-blocking projects?
How can these projects be improved?

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5. Do you think that the re-blocking possesses strategies that can be implemented in other informal settlements as a form of in-situ upgrading of an informal settlement?

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Appendix 3: Questionnaire

To the officials of the eThekweni Municipality

Questionnaire

Name:

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Please tick the correct box below:

Gender	
Male	
Female	

Age (Years)	
<18	
18-30	
30-40	

40-60	
60<	

Mother Tongue	
English	
isiZulu	
isiXhosa	
Other (Specify)	

Employment		
Employment Contract	Permanent	
	Temporary	

Section 1: This is about your work experience in the informal settlements upgrading, particularly in re-blocking.

1. What are the reasons for the re-blocking of the informal settlements in Durban?

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2. In your own words, how would you describe re-blocking?

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3. Have you been a part of a informal settlement re-blocking project? Please explain.

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4. What phases do the re-blocking projects have?

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5. At what phase or phases have you been involved in the re-blocking projects?

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Section 2: This is about your knowledge of community participation in the informal settlement re-blocking.

1. Drawing from your experience in re-blocking projects, how is the community involved?

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2. At what phase or phases is/are the community involved?

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3. What are the factors that make community participation important in the re-blocking projects?

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4. What are the measures, legislations or policies that are present to ensure the involvement of the community in the re-blocking projects?

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5. Do you think that full community participation can be achieved in re-blocking projects? Why?

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6. Do you think that the full engagement of community in any kind of development is essential to ensure the success of the plan and project?

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Section 3: This is about the challenges that are experienced during the informal settlement re-blocking.

1. What were the challenges that you experienced during the re-blocking projects in Kwa-Mathambo?

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2. How were these challenges dealt with?

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Section 4: This is about the impacts of the re-blocking on the informal settlement and the livelihood of the community and its surroundings.

1. What are the impacts of the re-blocking on the informal settlements?

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2. Do you think that the re-blocking of informal settlements has a positive or negative impact on the livelihood of the community?

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3. What impact do you think the re-blocking of informal settlements has had on the surrounding areas?

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4. Is there room for improvement for the informal settlement re-blocking projects. How can these projects be improved?

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5. Do you think that re-blocking possesses strategies that can be implemented in other informal settlements as a form of in-situ upgrading of an informal settlement?

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Appendix 4: Questionnaire

To the community members of KwaMathambo

Questionnaire

Name:

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Please tick the correct box below:

Gender	
Male	
Female	

Age (Years)	
<18	
18-30	
30-40	
40-60	
60<	

Mother Tongue	
English	
isiZulu	
isiXhosa	
Other (Specify)	

Employment		
Employment Type	Permanent	
	Temporary	
Self-Employment Status	Formal Business	
	Informal Business	
Unemployed		

Section 1: This is about your work experience in the informal settlements upgrading, particularly in re-blocking.

1. What are the reasons for the re-blocking of informal settlements?

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2. In your own words, how would you describe re-blocking?

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3. Were you part of an informal settlement re-blocking project? Please explain.

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4. What were the phases of the re-blocking project of KwaMathambo?

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5. At what phase or phases, were you involved in during the re-blocking?

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Section 2: This is about your knowledge about the role the community played during the re-blocking.

1. Drawing from your experience in re-blocking projects, how is the community involved?

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2. At what phase or phases is/are the community involved?

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3. What are the factors that make community participation important in the re-blocking projects?

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4. What are the measures, legislations or policies that are present to ensure the involvement of the community in the re-blocking projects?

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5. Do you think that full community participation can be achieved in re-blocking projects? Why?

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6. Do you think that the full engagement of the community in any kind of development is essential to ensure the success of the plan and project?

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7. Which external stakeholders were part of the re-blocking of KwaMathambo? Please explain.

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Section 3: This is about the challenges that are experienced during the informal settlement re-blocking.

1. What were the challenges that you experienced during the re-blocking of the KwaMathambo settlement?

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2. How were these challenges dealt with?

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Section 4: This is about the impacts of the re-blocking on the informal settlement and the livelihood of the community and its surroundings.

1. What were the impacts of the re-blocking of KwaMathambo?

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2. Do you think that the re-blocking of informal settlements has a positive or negative impact on the livelihood of the community?

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3. What impact do you think the re-blocking of KwaMathambo had on the surrounding areas?

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4. Is there room for improvement for informal settlement re-blocking projects. How can these projects be improved?

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5. Do you think the re-blocking possesses strategies that can be implemented in other informal settlements as a form of in-situ upgrading of an informal settlement?

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